DOCUMENT RESUME

ED 219 086 IR 050 069

AUTHOR Brandhorst, Ted, Ed.
TITLE Cataloging. ERIC Processing Manual, Section V.
INSTITUTION Educational Resources Information Center (ED/NIE), Washington, DC.; ERIC Processing and Reference Facility, Bethesda, Md.; ORI, Inc., Bethesda, Md. Information Systems Div.
SPONS AGENCY National Inst. of Education (ED), Washington, DC.
PUB DATE May 82
CONTRACT 400-81-0003
NOTE 188p.; Loose-leaf, updated continuously. One module of the ERIC Processing Manual (IR 050 065).
AVAILABLE FROM ERIC Processing and Reference Facility, 4833 Rugby Ave., Bethesda, MD 20814 ($3.75).

EDRS PRICE MF01/PC08 Plus Postage.
DESCRIPTORS *Cataloging; Check Lists; *Classification; Databases; Indexing; Information Retrieval; Information Storage; *Library Technical Processes
IDENTIFIERS *ERIC

ABSTRACT

Rules and guidelines are provided for ERIC catalogers and editors engaged in capturing bibliographic data on the documents and journal articles entered into the ERIC database. The material is organized by data element: Accession Number, Price Code, Pagination, Publication Date, Title, Journal Citation, Language, Publication Type, Descriptors, Abstract/Annotation, Personal Author, Institution, Sponsoring Agency, Report Number, Contract/Grant Number, Descriptive Note, Availability, Geographic Source, Governmental Status, Identifiers. Within each data element the material is organized by: Profile, Typical Entry, Text (including any authority lists), Summary of Significant Rules, and Examples. Several of the data elements have associated authority lists, e.g. lists of country names, language names, publication types, etc. An attachment reprints the COSATI rules for corporate author cataloging (1978 revision). (TB)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED219086

PROCESSING MANUAL

Rules and Guidelines for the Acquisition, Selection, and Technical Processing of Documents and Journal Articles by the Various Components of the ERIC Network

SECTION 5: CATALOGING

MAY 1982

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

This document has been reproduced as received from the person or organization originating it.

Minor changes have been made to improve reproduction quality.

Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

EDUCATIONAL RESOURCES INFORMATION CENTER

National Institute of Education
U.S. Department of Education

IR050069

SECTION V: CATALOGING

CATALOGING

TABLE OF CONTENTS

	PAGE
Reference Tools Used in the Cataloging Process	vii
Summary of Significant Rules	ix
V. CATALOGING	V- 1
A. Introduction	V- 1
1. General	V- 3
2. Data Entry	V- 4
a. Transmitting Bibliographic Data from Clearinghouse to Facility	V- 4
b. Rules for Keying Bibliographic Data	V- 5
3. Mandatory vs Optional Data Elements	V- 6
4. Clearinghouse Input vs ERIC Facility (or CIJE Publisher) Input	V- 6
5. Organization of Data Element Descriptions	V- 12
B. Rules for Specific Data Elements/Fields	V- 15
Centralized Input	
1. ERIC Accession Number	V- 19
2. Issue (of Abstract Journal)	V- 21
3. EDRS Price Code (RIE only)	V- 23
4. Pagination (RIE only)	V- 25
Clearinghouse Input *(Mandatory Data Elements/Fields)*	
5. Clearinghouse Accession Number	V- 35
6. Publication Date (in CIJE, derived by computer from Journal Citation)	V- 39

		PAGE
7.	Level of Availability (at EDRS) (RIE only)	V- 45
8.	Title	V- 53
9.	Journal Citation (mandatory for CIJE only)	V- 65
10.	Language of Document (if no entry, defaulted to "English")	V- 73
11.	Publication Type (080, "Journal Article," added by computer to all CIJE records)	V- 79
12.	Descriptors	V- 89
13.	Abstract/Annotation (mandatory for RIE only)	V- 93
	Clearinghouse Input (Optional Data Elements/Fields)	
14.	Personal Author	V- 99
15.	Institution (RIE only)	V-105
16.	Sponsoring Agency (RIE only)	V-111
17.	Report Number (RIE only)	V-113
18.	Contract Number (RIE only)	V-121
19.	Grant Number (RIE only)	V-125
20.	Descriptive Note	V-129
21.	Availability (other than EDRS)	V-137
22.	Geographic Source of Document (RIE only)	V-145
23.	Governmental Status of Document (RIE only)	V-155
24.	Identifiers	V-159
	Inactive/Obsolete Data Elements/Fields	
25.	Project Number	V-165
26.	Program Area Code (Legislative Source of Funding)	V-167

PAGE

C. Document Preparation (During Cataloging for RIE) V-169

1. Physical Problems V-171

2. Legibility/Reproducibility Problems V-175

3. Technical Problems V-177

Attachment 1 - "Corporate Author" Section 2 of *Guidelines for Descriptive Cataloging of Reports*. (PB-277 951). In support of "Institution" and "Sponsoring Agency" data elements. V-181

LIST OF ILLUSTRATIONS

FIGURE		PAGE
V- 1	ERIC Resume OCR Form (Blank)	V-7
V- 2	ERIC Character Set	V-9
V- 3A	ERIC Resume OCR Form (Completed - RIE Record)	V-10
V- 3B	ERIC Resume OCR Form (Completed - CIJE Record)	V-11
V- 4	ERIC Data Elements (Showing Responsibility for Each, File in Which Used, and Mandatory/Optional Status)	V-13
V- 5	ERIC Price Codes (Conversion Table)	V-23
V- 6	Pagination - Double-Framing Techniques	V-31
V- 7	Pagination - Filming Patterns When Overlapping Images Required	V-32
V- 8	Clearinghouse Prefix Assignments	V-36
V- 9	Language Authority List	V-75
V-10	Descriptors Corresponding with Publication Type Categories	V-81
V-11	Publication Types and Codes	V-84
V-12	Publication Type Categories and Their Definitions	V-85
V-13	Guide for Assigning Pubtype Codes (A Cross-Reference from Specific Kinds of Documents to Most Applicable Publication Type Code)	V-87
V-14	Abbreviations Commonly Used in Report Numbers	V-115
V-15	Organizations That Should Always Be Cited as the Source for Printed Copies of Their Own Publications	V-140
V-16	Country Names Authority List	V-150
V-17	Program Areas and Codes (Inactive Data Element)	V-168

REFERENCE TOOLS USED IN THE CATALOGING PROCESS

The publications listed below are the primary reference tools of use in the cataloging process. The cataloging guidelines assume that Clearinghouse catalogers have both knowledge of and access to these publications. Because the introductory material appearing in each publication describes fully its frequency, format, and method of use, that information is not repeated here.

- ERIC Processing Manual (EPM)
- ERIC OCR Keying Manual
- Thesaurus of ERIC Descriptors (Working Copy), and Supplements
- Identifier Authority List (IAL), and Supplements
- Source Directory
  - ——Truncated Edition (Names Active Across Last 5 Years)
  - ——Monthly Cumulative Supplements
  - ——Archival Edition (All Names)
- Contract/Grant Number Index
- Report Number Index
- Clearinghouse Number to ED Number Cross-Reference List
- GPO Style Manual
- A Manual of Style (University of Chicago Press)
- Anglo-American Cataloguing Rules (AACR-2)
- COSATI (Guidelines for Descriptive Cataloging of Reports (PB-277 951)

CATALOGING

SUMMARY OF SIGNIFICANT RULES

The following rules apply to the cataloging of all data elements. The specific rules that apply uniquely to a given data element are provided in the individual section on that data element.

1. Catalog from the document in hand. (However, if the document is Level 3, research into sources of availability may be essential.)

2. The principal authorities that should be consulted to answer cataloging questions not covered by these guidelines are the following:

   - *Guidelines for Descriptive Cataloging of Reports. A Revision of COSATI Standard for Descriptive Cataloging of Government Scientific and Technical Reports.* (PB-277 951)

   - *Anglo-American Cataloguing Rules.* Second edition.

3. The principal authorities that should be consulted to answer questions of grammatical style and English usage not covered by these guidelines are the following:

   - *GPO Style Manual*

   - *A Manual of Style* (University of Chicago Press)

4. Do not hyphenate, slash, or dash at the end of a line.

5. The text of all fields should be entered in upper and lower case, as appropriate. Use only the 88 characters available in the ERIC Character Set, but do not use the Underline (_).

6. The Semicolon is used only as a subfield delimiter (to separate multiple Authors, Institutions, Descriptors, Report Numbers, etc., and to separate logical segments of certain fields, e.g., Journal name from volume/number data) in all fields except Title, Descriptive Note, Availability, and Abstract, where it can be used as a normal punctuation mark.

7. Certain data elements are mandatory and others are optional (i.e., conditional on their appearing in the document or journal article). Mandatory data elements must be cataloged for every record entered in the system.

8. Different volumes or parts of the same document should be accessioned in proper sequence and, if at all possible, should be input to the same issue of RIE.

A. INTRODUCTION

V. CATALOGING

A. Introduction

1. General

These guidelines for descriptive cataloging are intended for use by the ERIC Clearinghouses in preparing bibliographic data for the ERIC data base. They will also be of interest to users of the ERIC data base in that they describe various matters knowledge of which is essential in retrieval operations, e.g., the definition of each data element, where in the record certain information is stored, when each data element was initiated, how the data are structured, etc.

Cataloging is a complex function and the guidelines presented here are necessarily limited. For cataloging problems not detailed herein, catalogers should consult the following principal references (on which the ERIC guidelines are based):

- *Guidelines for Descriptive Cataloging of Reports. A Revision of COSATI Standard for Descriptive Cataloging of Government Scientific and Technical Reports.* Washington, D.C., Committee on Information Hang-ups, March 1978. 72p. (PB-277 951).

- *Anglo-American Cataloguing Rules.* Second Edition. Chicago, American Library Association, 1978. 620p.

For questions of general grammatical style and English usage, the cataloger should consult principally the latest editions of the *GPO Style Manual* and the University of Chicago Press' *A Manual of Style.*

The objective of descriptive cataloging is to provide a unique description for the document in hand, which will serve to distinguish it from all other documents. Since ERIC is a computerized system, the cataloging function simultaneously provides tags for the data the system collects. These tags later serve essential roles in various computerized operations such as the production of indexes, generation of abstract journals, computer searching, etc.

Traditional library cataloging deals primarily with monographs (books) and serials (journals)——the standard open literature production of the commercial publishing community. ERIC cataloging deals primarily with technical reports, conference papers, and similar fugitive, limited-distribution, non-commercial materials. The ERIC data elements have been selected to fit the literature it processes and they therefore include elements that are not normally treated by libraries, e.g., Report Numbers, Contract Numbers, Sponsoring Agencies, etc. For this reason, the ERIC cataloging guidelines were originally based on guidelines developed specifically for the report literature.

Because of the complexity of the report literature and the fact that it has always been regarded as having a limited life span, one of the fundamental rules of report cataloging has always been to catalog from the document in hand. Extensive investigation to find information not contained in the document, sometimes justified in the cataloging done by large research libraries, has rarely been seen as justified for the report literature. Information that may accompany the document (e.g., in the form of letters of transmittal) should, of course, be used if available (and kept with the document for the benefit of later editors). Also, if a document is obviously one of a series, of which other members have been entered in the system, it is appropriate to check the other members to ensure consistent treatment within the set. However, in general, the rule is to catalog from the document and to consider each field of data as a distinct entity, attempting to characterize that particular aspect of the document as best it can be on the basis of the information immediately available.

2. Data Entry

a. Transmitting Bibliographic Data from Clearinghouse to Facility

At one time, all cataloging data were prepared by the ERIC Clearinghouses on a single paper form and mailed to the ERIC Facility for keying, editing, and subsequent computer processing. As technology has advanced, the methods employed for the transmission of cataloging data have become more varied, e.g.:

- transmission on forms (OCR forms) that can be optically scanned (forms mailed)
- transmission from communicating word processor to communicating word processor (across telephone lines)
- transmission from minicomputer to word processor (or computer) (across telephone lines)
- transmission from microcomputer to word processor (or computer) (across telephone lines)
- transmission via computer-compatible magnetic tape (tapes mailed)

The data entry technology used by each ERIC Clearinghouse depends on the equipment available at that particular Clearinghouse. The ERIC Facility attempts to take advantage of new equipment as it is acquired by the Clearinghouses. In this environment, not all Clearinghouses follow exactly the same cataloging procedures. Some may be typing Optical Character Recognition (OCR) forms (on the basis of handwritten original forms); others may be entering cataloging data directly into their word processor for later direct telephonic transmission. With such differing data entry methodologies

all going on simultaneously, it is difficult to prepare a single unified set of data entry instructions. For this reason, Section IX of the EPM on "Data Entry" has been temporarily deferred as ERIC evolves toward a single data entry technique. Meanwhile, a separate document entitled the *OCR Keying Manual* remains the principal instructional manual in this area. Clearinghouses keying data for transmission via methodologies other than the OCR approach should still follow this manual in tagging and otherwise structuring their data for input to the Facility.

Similarly, no matter what the data entry methodology employed, the cataloging rules described in this section for the individual data elements remain the same.

b. Rules for Keying Bibliographic Data

The current ERIC Resume OCR Form (EFF-66) (Figure V-1) is an 8½" x 11" blank form designed for ease of use with optical scanners. It has a border within which all data must reside. It has a "starting position" in which the very first data element, the Clearinghouse Accession Number, should begin and on which the scanner initiates its reading of the form. On the back of the form is a summary set of cataloging instructions together with typical examples of each data element. The ERIC Resume OCR Form must be typed using a Selectric typewriter set for five lines to the inch (vertically) and ten characters to the inch (horizontally) i.e., ten pitch. The standard OCR-A typing element must be used to ensure that the scanner can recognize the characters. Corrections can be made in a variety of ways including the Selectric's self-correcting mechanism, use of the character-erase ("blob"), use of the character-deletion/word deletion/line-deletion capabilities ("hooks"), and the ability to replace any given line or field with correction data discovered after the initial keying. These matters are covered in detail in the *ERIC OCR Keying Manual*. If non-OCR data entry is being used (e.g., a word processor) then the instructions that pertain uniquely to OCR do not, of course, apply. However, the following rules would apply to all types of keying.

- Begin data entry immediately after the keyword/tag. Do not leave blank spaces between keyword/tag and the actual data. Begin each new data element on a separate line.

- Use only characters available in the ERIC character set (Figure V-2).

- Do not hyphenate, slash, or dash at the end of a line. The computer system identifies words by the occurrence of a space, and it automatically inserts a space after the last character in each line (i.e., a carriage return generates a space), so if "re-" ends a line and "trieve" begins the next, the data appears in the record as "re- trieve."

- Keep all data inside the border.
- Use the semicolon (;) only as a delimiter (i.e., subfield separater) in all fields except Title, Availability, Descriptive Note, and Abstract. Within these four fields, the semicolon may be used in normal fashion.

Figure V-3 is a sample of completed ERIC OCR Forms, one each for RIE and CIJE.

3. Mandatory vs Optional Data Elements

Certain data elements are mandatory, and records are not permitted to enter the ERIC Master Files unless they exhibit these data elements. Other data elements are "optional" or "conditional" in that they should be cataloged when available on the document, but they are not always available. There are some differences between RIE and CIJE in this regard. For example, the Title field is mandatory for both RIE and CIJE, but the Journal Citation field is mandatory solely for CIJE.

Figure V-4 lists all of the data elements currently cataloged by ERIC and indicates for each whether it is an RIE or CIJE element, mandatory or optional, Clearinghouse input or central Facility input. Catalogers may wish to use this figure as a checklist to ensure completeness of cataloging.

Data Elements Mandatory for RIE	Data Elements Mandatory for CIJE
Clearinghouse Accession Number	Clearinghouse Accession Number
Publication Date	
Level of Availability (at EDRS)	
Pagination	
Title	Title
Publication Type	Publication Type
Language	Language
	Journal Citation
Descriptors	Descriptors
Abstract	

4. Clearinghouse Input vs ERIC Facility (or CIJE Publisher) Input

Most of the cataloging data is generated by the Clearinghouses and simply edited by the ERIC Facility (or CIJE Publisher). However, of the 24 total data elements currently cataloged, four are the responsibility of the central support contractors for RIE and CIJE:

ERIC Resume OCR Form

Date

☐ NEW RESUME
☐ RIE ☐ CIJE
☐ CORRECTIONS ONLY PAGE___OF___

Prepared By

Typewriter ID No.

Keywords

ALIGN FIRST CHARACTER IN BOX

CH
PDAT
LEVEL
PAGE
AUTH
TITLE
INST
SPON
CONT
GR
REPNO
PUBTYPE
NOTE
AVAIL
JNL
LANG
GEO
GOV
DESC
IDEN
ABST

Substitution Characters

ERIC	OCR
[	((
]	))
!	??
>	.GT.
<	.LT.
{	(
}	)
#	=
~	'

DO NOT TYPE BELOW THIS LINE

EFF-06 (Rev. 3/80)

FIGURE V-1: ERIC RESUME OCR FORM (BLANK)

ERIC RESUME
Summary Instructions

FIELD NAME	KEYWORD	MAX. CHAR. PER ENTRY	MAX. ENTRIES	TYPICAL ENTRY(IES)	NOTES
ERIC Accession Number	--	8(FL)	1	ED065432	No entry. Supplied by Facility
Clearinghouse Accession Number	CH::	8(FL)	1	TM015432	Assigned by Clearinghouse
Publication Date	PDAT::	7	1	14May73	Use ONLY following formats: 14May73, May73, 73, or [73]
Level of Availability (At EDRS)	LEVEL::	1(FL)	1	1	Level 1 - MF & PC Level 2 - MF Only. Level 3 - Not available EDRS
Pagination	PAGE::	10	1	10	No Entry (Except for Level 3 Items). Supplied by Facility
Author(s)	AUTH::	50	2	Smith, John J. Doe, R. R. Jones, B.W., And Others	One or two authors. Three or more authors
Title	TITLE::	500	1	Indians in Maine	Include subtitle, translated title, etc.
Institution Code (Corporate Source)	INST::	8(FL)	4	BBB08456	See Source Directory
Institution Name	--	200	4	Heuristics, Inc., Dedham, Mass.	See Source Directory
Sponsoring Agency Code	SPON::	8(FL)	4	BBB05495	See Source Directory
Sponsoring Agency Name	--	200	4	Army Library, Washington, D.C.	See Source Directory
Contract Number	CONT::	25	2	400-76-0045	
Grant Number	GR::	25	2	NIE-G-74-0025	
Report Number	REPNO::	40	4	PB-178 441, OE-12047	
Publication Type	PUBTYPE::	3	3	090, 160	See ERIC Processing Manual for Codes. 080 supplied automatically for all EJ's.
Descriptive Note	NOTE::	300	3	For related documents see...	
Availability	AVAIL::	300	1	Harper & Rowe, 49 E. 33rd St., N.Y. 10016, ($6.50)	OTHER than EDRS. DO NOT enter "Available from ... " etc.
Journal Citation	JNL::	50	2	Science, v27, n12, p122-137, May 1979	Semicolon after Journal Name. No entry when only English.
Language of Document	LANG::	100	5	English, French	See ERIC Processing Manual for Geographic Names.
Geographic Source of Document	GEO::	300	2	U.S., Indiana	See ERIC Processing Manual for Governmental Names.
Governmental Status of Document	GOV::	150	1	Federal	5 to 10 terms recommended. Asterisk (*) 1 to 6 major terms for printed index.
Descriptors	DESC::	50	20	*Gifted, Grade 7	0 to 5 terms recommended. No more than two (2) asterisked (*) for RIE Index.
Identifiers	IDEN::	50	10	*Sesame Street	RIE: About 200 words CIJE: About 50 words
Abstract/Annotation	ABST::	1400	1	The teaching of a dialect modification	

Note: Fixed length data fields are indicated by (FL); all other fields are variable in length. The maxima cited above for variable length fields are practical limits in accordance with the *ERIC Processing Manual* cataloging rules, NOT necessarily those of the computer system, which frequently includes large safety factors.

NOTE:

Mandatory for RIE: CH, PDAT, LEVEL, PAGE, TITLE, PUBTYPE, LANG, DESC, ABST
Mandatory for CIJE: CH, TITLE, PUBTYPE, LANG, JNL, DESC, ABST (i.e. Annotation)

FIGURE V-1: ERIC RESUME OCR FORM (BLANK) (PAGE 2)

ALL ALPHABETICS	-	A-Z (UPPER CASE)
ALL ALPHABETICS	-	a-z (LOWER CASE)
NUMERICS	-	0-9
SPECIAL CHARACTERS	-	(LISTED BELOW)

&	AMPERSAND	>	GREATER THAN
'	APOSTROPHE	<	LESS THAN
*	ASTERISK	-	HYPHEN
	BLANK SPACE	(	PARENTHESIS (LEFT)
[	BRACKET (LEFT)	)	PARENTHESIS (RIGHT)
]	BRACKET (RIGHT)	%	PERCENT
:	COLON	.	PERIOD
,	COMMA	+	PLUS SIGN
--	DASH (TWO HYPHENS)	#	POUND SIGN
$	DOLLAR SIGN	?	QUESTION MARK
=	EQUALS	"	QUOTATION MARK
!	EXCLAMATION POINT	;	SEMICOLON
		/	SLASH, VIRGULE

FIGURE V-2: ERIC CHARACTER SET

ERIC Resume OCR Form

Date

□ NEW RESUME
□RIE □CIJE
□ CORRECTIONS ONLY PAGE___OF___

Prepared By

Typewriter ID No.

ALIGN FIRST CHARACTER IN BOX

Keywords

CH
PDAT
LEVEL
PAGE
AUTH
TITLE
INST
SPON
CONT
GR
REPNO
PUBTYPE
NOTE
AVAIL
JNL
LANG
GEO
GOV
DESC
IDEN
ABST

CH::AA654321
TITLE::Career Education for Women. Final Report, 1981-1982.
AUTH::Smith, John D., Jr.; Jones, Mary Jane
INST::BBB98765=Central Univ., Chicago, IL.
SPON::=National Research Foundation, Washington, DC.
PDAT::14May82
LEVEL::3
PAGE::14
LANG::English; Spanish
PUBTYPE::143; 110
REPNO::CU-TR-82-5
CONT::NRF-C-001-04964
GEO::U.S.; Illinois
GOV::Federal
AVAIL::Superintendent of Documents, Washington, DC 20402 ($6.50).
NOTE::Paper presented at the National Conference on Career Education (3rd, Chicago, IL, January 13-15, 1982).
DESC::Career Guidance; Career Planning; Careers; *Demand Occupations; *Employment Opportunities; Females; Labor Force; Labor Market; *Labor Needs; Occupational Aspiration; Occupations; *Working Women
IDEN::Consortium of States; *National Occupational Competency Testing Institute
ABST::Women's opportunities for employment will be directly related to their level of skill and experience but also to the labor market demands through the remainder of the decade. The number of workers needed for all major occupational categories is expected to increase by about one fifth between 1980 and 1990, but the growth rate will vary by occupational group. Professional and technical workers are expected to have the highest predicted rate (39%), followed by service workers (35%), clerical workers (26%), sales workers (24%), craft workers and supervisors (20%), managers and administrators (15%), and operatives (11%). This publication contains a brief discussion and employment information concerning occupations for professional and technical workers, managers and administrators, skilled trades, sales workers, clerical workers, and service workers. (Author/SB)

Substitution Characters

ERIC	OCR
[	((
]	))
!	??
>	.GT.
<	.LT.
{	(
}	)
#	=
_	::

DO NOT TYPE BELOW THIS LINE

EFF-66 (Rev. 3-80)

FIGURE V-3A: ERIC RESUME OCR FORM (COMPLETED - RIE RECORD)

ERIC Resume OCR Form

Date

Prepared By

□ NEW RESUME
□RIE □CIJE
□ CORRECTIONS ONLY PAGE___OF___

Typewriter ID No.

ALIGN FIRST CHARACTER IN BOX

Keywords

CH
PDAT
LEVEL
PAGE
AUTH
TITLE
INST
SPON
CONT
GR
REPNO
PUBTYPE
NOTE
AVAIL
JNL
LANG
GEO
GOV
DESC
IDEN
ABST

CH::AA987654
TITLE::Snow Survival Strategies of the Plains Indians.
AUTH::Brown, John A.
LANG::English; French
PUBTYPE::060
AVAIL::UMI
JNL::Indian History; {Native American Survival Techniques} v7 n2 p3-11 Dec 1982
DESC::*American Indians; *Foods Instruction; Medicine; *Outdoor Education; *Plant Identification; *Safety
IDEN::Fires; Snow; *Survival Skills {Outdoor}
ABST::A basic review of the following techniques: {1} building a shelter; {2} making a fire; {3} finding and keeping food; {4} safety and medicine; {5} orientation to directions; and {6} aids in traveling in the country. {RTS}

Substitution Characters

ERIC	OCR
[	((
]	))
!	??
>	.GT.
<	.LT.
(	{
)	}
#	#
_	::

DO NOT TYPE BELOW THIS LINE

EFF—08 (Rev. 3/80)

FIGURE V-3B: ERIC RESUME OCR FORM (COMPLETED - CIJE RECORD)

- ERIC Accession Number (ED/EJ Number)
- Issue (of Abstract Journal)
- EDRS Price Code (RIE only)
- Pagination (Level 1 and 2 Documents) (RIE only)

Figure V-4, which is a total list of data elements, includes these four and designates the responsible unit in each case.

5. Organization of Data Element Descriptions

Each data element is described and its guidelines established in a standard format consisting of five parts: Profile, Typical Entry, Text, Summary of Significant Rules, Examples.

Profile:	Provides a quick capsule of basic information about the data element: its official name; the tag used during data entry to identify the data to the computer program; the decimal number identifying the field on tapes containing this data; whether the field contains alphabetic, numeric, or special character data; whether the field is mandatory or optional; whether the data can be subfielded (i.e., whether it can have multiple entries, as with authors, Descriptors, etc.); field length information (to provide the cataloger with useful information pertaining to actual field maximum/minimum/ average lengths); what files (RIE or CIJE) the data element is used in.
Typical Entry:	Provides an example of the data element as it should be keyed for entry.
Text:	Provides a narrative text treating the cataloging of the data element in complete detail. All explanations and justifications that can only be handled by a narrative are provided here.
Summary of Significant Rules:	All the rules explicit or implicit in the text or the examples are itemized in list form.
Examples:	Examples are provided of all the significant variant forms the data element can take. Each form is labeled. This section is designed for rapid ready reference. In many cases, a cataloger faced with a problem, can solve that problem by referring to an example without bothering to read all the text explaining or justifying the approach.

			Responsibility		RIE		CIJE	
			Clearinghouse (CH)	Central Facility	Mandatory	Optional	Mandatory	Optional
1	Central Facility Input	ERIC Accession Number (ED/EJ)		X	X		X	
2		Issue (of Abstract Journal)		X	X		X	
3		EDRS Price ①		X	X		-NA-	
4		Pagination②						
A		Level 1 and 2 Documents		X	X		-NA-	
B	CH Input (Mandatory Elements)	Level 3 Documents	X		X		-NA-	
5		Clearinghouse Accession No.	X		X		X	
6		Publication Date	X		X		X ③	
7		Level of Availability	X		X		-NA-	
8		Title	X		X		X	
9		Journal Citation	X			X	X	
10		Language (1979-)	X	X(English) ④	X		X	
11		Publication Type (1974-)	X	X (080) ⑤	X		X	
12		Descriptors	X		X		X	
13A		Abstract	X		X			
B	CH Input (Optional Elements) (To be completed when available on document)	— Annotation	X					X
14		Personal Author	X			X		X
15		Institution	X			X	-NA-	
16		Sponsoring Agency	X			X	-NA-	
17		Report Number	X			X	-NA-	
18		Contract Number	X			X	-NA-	
19		Grant Number	X			X	-NA-	
20		Descriptive Note	X			X	-NA-	
21		Availability	X			X		X ⑥
22		Geographic Source (1979-)	X			X	-NA-	
23		Governmental Status (1979-)	X			X	-NA-	
24		Identifiers	X			X		X

FIGURE V-4: ERIC DATA ELEMENTS

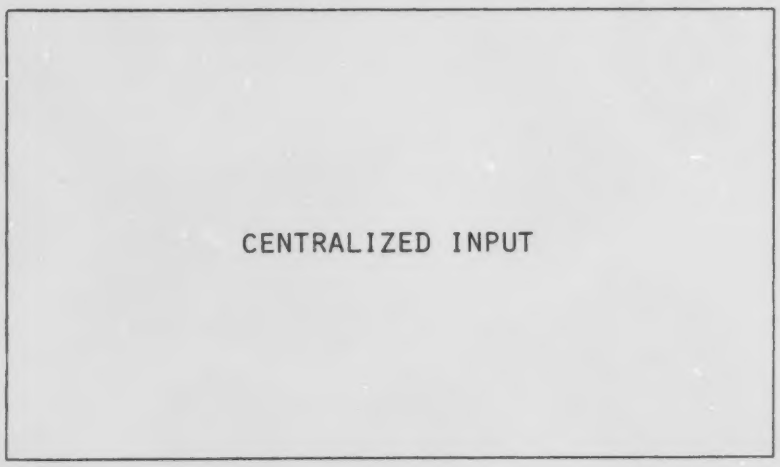
(Showing Responsibility for Each, File in Which Used, and Mandatory/Optional Status)

NOTES

(1.) **EDRS Price Code**	—	Generated by computer system automatically based on data in Level and Pagination fields.
(2.) **Pagination**	—	Clearinghouses provide pagination only for Level 3 documents (where no actual document is sent to the Facility). Facility performs centralized pagination function on all Level 1 and 2 documents.
(3.) **Publication Date (CIJE)**	—	Derived by CIJE computer system automatically from Journal Citation field (last component).
(4.) **Language (English)**	—	"English" inserted by computer system as default option when no language entered. Data element initiated in 1979.
(5.) **Publication Type (080)**	—	Journal Article (PUBTYPE 080) inserted by CIJE computer system automatically in all CIJE records. Data element initiated in 1974.
(6.) **Availability (CIJE)**	—	"UMI" expanded by CIJE computer system automatically to "Reprint: UMI".

FIGURE V-4: ERIC DATA ELEMENTS (Continued)

B. RULES FOR SPECIFIC DATA ELEMENTS/FIELDS


CENTRALIZED INPUT

ERIC Accession Number

V.B.1

PROFILE

Data Element/Field	- ERIC Accession Number
Data Entry Tag	- ACC::
Field ID Number (Tape)	- 16
Character Set	- Alphabetic, Numeric
Mandatory/Optional	- Mandatory
Subfields Permitted	- No
Field Length	- 8 (fixed length)
Files	- RIE and CIJE

TYPICAL ENTRY (RIE)

ACC::ED123456

TYPICAL ENTRY (CIJE)

ACC::EJ654321

The ERIC Accession Number (ED or EJ) is computer-assigned during final processing at the ERIC Facility (or the CIJE Publisher) and only after all duplicates, rejects, and other removals have been accomplished. This ensures an unbroken "gapless" sequence of accession numbers in the final product.

For this reason, this field should be left blank on all records transmitted to the ERIC Facility.

The ERIC Accession Number serves several purposes:

- an address tag for computer storage and retrieval.
- a physical location address for shelf storage of documents and microfiche.
- an index-to-resume connector for use in the indexes of announcement media.
- an order number for acquiring microfiche or paper copies of documents from EDRS (ED-only) or reprints from UMI (EJ-only).

The Accession Number prefix for RIE is an "ED," standing for "ERIC Document" or "Educational Document." The Accession Number prefix for CIJE is an "EJ," standing for "ERIC Journal."

A complete list of all ERIC Accession Numbers assigned to date, organized by publication by month, appears as Appendix D in the *ERIC Tape Documentation*.

SUMMARY OF SIGNIFICANT RULES

1. The ERIC Accession Number is assigned to the document or journal article by the ERIC Facility (or CIJE publisher) as one of the last steps in computer processing and after all duplicates, rejects, and other removals have been made. This ensures a "gapless" sequence of numbers. This number is not assigned by the Clearinghouses.

2. The ERIC Accession Number is entered in the computer file in packed form (e.g., "ED123456"). However, the customary way of printing the number for ease of human use, is as follows: "ED 123 456" (as used in RIE citations) or "ED-123456" (as often used in bibliographies).

3. RIE Accession Numbers are prefixed with an "ED." CIJE Accession Numbers are prefixed with an "EJ."

4. ED Accession Numbers are assigned sequentially and without gaps. If, after publication, a given accession is found to be a duplicate of a prior accession, or if a valid request is made to withdraw the accession from circulation, the record is not completely expunged from the file, but is instead "skeletonized" to a record containing only title and explanatory note (see EPM, Section X).

ISSUE (OF ABSTRACT JOURNAL)

V.B.2

PROFILE

Data Element/Field	- Issue (of Abstract Journal)
Data Entry Tag	- ISS::
Field ID Number (Tape)	- 43
Character Set	- Alphabetic, Numeric
Mandatory/Optional	- Mandatory
Subfields Permitted	- No
Field Length	- 8 (fixed length)
Files	- RIE and CIJE

TYPICAL ENTRY (RIE)

ISS::RIEJAN82

TYPICAL ENTRY (CIJE)

ISS::CIJJAN82

NOTE - This data element is not cataloged by the ERIC Clearinghouses. It is inserted into the RIE and CIJE records by the ERIC Facility and CIJE Publisher, respectively.

This field contains data identifying the RIE or CIJE journal issue in which the record was originally announced.

The field is fixed in length at 8 characters and has traditionally been constructed in Journal (3) - Month (3) - Year (2) format, as shown in the "Typical Entries."

EDRS Price Code

V.B.3

PROFILE

Data Element	- EDRS Price Code
Data Entry Tag	- None (Generated by computer from Level and Pagination data)
Field ID Number (Tape)	- 37
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Mandatory) CIJE (Not Used)
Subfields Permitted	- No
Field Length (Experience)	- 33 (Min.); 62 (Max.); 38 (Av.)
Files	- RIE only

TYPICAL ENTRIES (RIE Only)

Level 1	EDRS Price - MF01/PC03 Plus Postage.
Level 2	EDRS Price - MF01 Plus Postage. PC Not Available from EDRS.
Level 3	Document Not Available from EDRS.

NOTE: This data element is not cataloged by the ERIC Clearinghouses.

The EDRS Price Code field is not entered by either the ERIC Clearinghouses or the ERIC Facility. The contents of this field are generated by the computer system on the basis of data contained in the Level and Pagination fields. The Level determines the format of the statement (as shown in the "typical entries"). The Pagination determines the specific code(s) (e.g., MF01, PC03, etc.) inserted into the statement. The codes increase with increases in document size, according to the graduated table shown opposite. The meaning of the codes (in dollars and cents), and hence the table, changes whenever EDRS announces a price change. However, the codes themselves do not change and the data on the magnetic tape Master File therefore remain valid.

ERIC PRICE CODES

PAPER COPY

CODE	PAGINATION	PRICE
PC 01	1 - 25	2.00
PC 02	26 - 50	3.65
PC 03	51 - 75	5.30
PC 04	76 - 100	6.95
PC 05	101 - 125	8.60
PC 06	126 - 150	10.25
PC 07	151 - 175	11.90
PC 08	176 - 200	13.55
PC 09	201 - 225	15.20
PC 10	226 - 250	16.85

ADD $1.65 FOR EACH ADDITIONAL 25 PAGES OR FRACTION THEREOF

MICROFICHE

CODE	PAGINATION	FICHE	PRICE
MF 01	1 - 480	1-5	.91
MF 02	481 - 576	6	1.10
MF 03	577 - 672	7	1.29
MF 04	673 - 768	8	1.48
MF 05	769 - 864	9	1.67
MF 06	865 - 960	10	1.86

ADD $0.19 FOR EACH ADDITIONAL MICROFICHE (1-96 PAGES)

FIGURE V-5:
ERIC PRICE CODES
(CONVERSION TABLE)

PAGINATION

V.B.4

PROFILE

Data Element/Field	- Pagination
Data Entry Tag	- PAGE::
Field ID Number (Tape)	- 39
Character Set	- Numeric
Mandatory/Optional	- RIE (Mandatory) Level 1 & 2 - ERIC Facility Level 3 - Clearinghouses CIJE (Not Used)
Subfields Permitted	- No
Field Length (Experience)	- 1 (Min.); 10 (Max.)
Files	- RIE only

TYPICAL ENTRY (RIE ONLY)

PAGE::1542

Pagination in RIE is not calculated according to normal library rules, but is instead equivalent to the number of microfiche frames required to film the document. The pagination number is used by the RIE computer system to determine how many microfiche will be produced for each document. Since the total number of fiche for each accession is indicated on every fiche (e.g., "Card 1 of 5," etc.) and the number of total microfiche frames determines the EDRS microfiche and paper copy prices, accuracy in page counting is essential.

In order to achieve the needed accuracy and consistency, the pagination of Level 1 and Level 2 documents (i.e., those available from EDRS) has been centralized at the ERIC Facility. The detailed instructions that follow for Level 1 and 2 documents are, therefore, of two kinds:

(1) instructions for the Clearinghouses as to how to arrange and prepare documents for pagination and filming;

(2) instructions for the ERIC Facility as to how to number stamp the various kinds of pages it receives from the Clearinghouses.

Clearinghouses are responsible for document preparation (see also Section V.C), but should subsequently forward Level 1 and 2 documents to the ERIC Facility without cataloging the Pagination data element.

However, in the case of Level 3 documents (i.e., those not available from EDRS), where the Clearinghouses do not normally send a document to the ERIC Facility, it is essential that the Clearinghouse catalog the document's pagination. Pagination for Level 3 documents can be determined in accordance with normal cataloging rules. Level 3 documents are not microfilmed and sold by EDRS and hence the pagination need not equate exactly with the number of microfiche frames required to film the item.

Detailed Procedures for Arranging and Paginating Level 1 and 2 Documents

Pagination for Level 1 and 2 documents is not simply the number of sheets of paper or sides with printing. It is, instead, defined as the number of microfiche frames required to photograph the entire document, which is frequently another number entirely. Therefore, special procedures must be followed to determine pagination, as follows:

- Number Stamping (ERIC Facility Function)

  All pages, or portions of pages which will become microfilm images, will be sequentially number-stamped, using a Bates Numbering Stamp, Style E, or equivalent device. The numbering machine should have numerals approximately one-quarter inch (¼") high, and should have a capacity of at least 4 digits. If all pages of the document are 8½" x 11" or smaller, each page will be number-stamped once, preferably at the bottom center of the page.

- Single Frame Resume Allowance (ERIC Facility Function)

  Since the first page of a microfiched document is always the Single Frame Resume produced at the ERIC Facility, stamping will begin by numbering the first filmable page of the document (title page or cover) with the number 2. With this procedure, the number of the last page stamped on the document will then be the number of actual microfiche frames that will be required of EDRS.

- Valid Pages vs Invalid Pages (Clearinghouse Function)

  All printed pages, including covers, prefaces, title pages, frontispieces, indexes, pocket materials, etc., are to be arranged in the sequence in which they are to be number-stamped and microfilmed. Covers and/or title pages are the first pages of a document to be filmed. Where these two pages are identical to one another, as sometimes occurs, one should be considered unnecessary and deleted. In the cases of pages that bear some small amount of printed material (e.g., a logo, a heading, a tab, etc.), but that are essentially blank, a judgment must be rendered as to whether the fragmentary material on the page is useful for the user or whether it is inconsequential. A page must, in other words, be classed as "printed" or "blank." Only the former is filmed.

- Blank Pages (Clearinghouse Function)

  Blank pages, occurring occasionally in documents where the pages are normally printed front and back, are not to be number-stamped or filmed (even if numbered in the original document). On each blank page, the following legend should be added in letters approximately one-quarter inch (¼") high:

  BLANK PAGE
  DO NOT FILM

  In order to avoid bleedthrough, do not use felt markers for adding this legend. A rubber stamp, or a sticker, with the letters in a color other than black is recommended.

  Note that this instruction does not apply to documents that through their entire length are printed on one side of the page only. The page number stamping process will suffice in such patterned cases to communicate filming instructions to EDRS.

- Missing or Deleted Pages (Clearinghouse Function)

  If one or more pages are missing from the document as submitted (and as selected), either because the missing page(s) is (are) unobtainable, or because they are copyrighted, the Clearinghouse should insert in the document, at each point in the document where a gap occurs, a sheet carrying a legend in the following format:

  PAGE(S) _____ WAS (WERE) MISSING (REMOVED) FROM THIS DOCUMENT PRIOR TO ITS BEING SUBMITTED TO THE ERIC DOCUMENT REPRODUCTION SERVICE.

  This action will usually be taken for groups of pages containing matters of substance, the absence of which should be brought to the attention of the user.

- Wrong-Reading Pages (Text Parallel to the Long Dimension) (ERIC Facility Function)

  Generally, documents are made up of pages designed to be "right-reading" for the user, in the sense that they can be read immediately as the document opens, without adjustment of the orientation of the page.

In most cases, the text of such right-reading pages is parallel to the short dimension. Such a page is filmed in the same orientation as it is bound and, therefore, becomes right-reading in the microfiche also.

Occasionally a document contains pages with text oriented at variance with the regular pages; this text is usually parallel to the long dimension and is "wrong-reading" in the document in the sense that the reader must turn the document 90 degrees to properly read the text. Wrong-reading frames on a microfiche are difficult for the user in that most standard equipment does not permit the platen holding the fiche to be turned 90 degrees.

ERIC's filming policy is that all pages will be made right-reading on the ERIC microfiche, as a convenience to microfiche users (so that they don't have to tilt their heads sideways to read the resultant image). In those cases where a page becomes oversize, e.g., 11" x 8½" when turned for filming, the paginator must follow the instructions for "Oversize Pages."

- Oversize Pages

An "Oversize Page" is defined as any page over 8½" in width or 11" in height. There are four possible techniques for handling oversize pages and the document preparer must select and use one of the following techniques in order to make the document ready for filming. The techniques are listed roughly in order of preference.

—Document Preparation (Note: This is a Clearinghouse function)

In many cases, a page that is oversize can be reduced, re-mounted, trimmed, cut, re-typed, or otherwise prepared so that the text it contains is shifted to one or more 8½" x 11" pages. Where this can be accomplished, it is the preferred solution in that it permits the filmer to proceed at maximum speed and results in perfectly standard fiche which are easiest for the user to read. Document preparation of this type, which is a responsibility of the ERIC Clearinghouses, can involve a lot of work and is usually best resorted to for individual problem pages rather than entire documents. A document in which all or many pages present a problem is usually amenable to one of the other techniques.

—Increased Reduction Ratio (Up to 29X)

Legal-size documents (8½" x 14", and others up to 10" x 14"), which are right-reading, can be filmed in one frame by EDRS by resorting to a lens with a greater reduction ratio (29X is used for this purpose). Therefore, documents of this size do not need to be paginated any differently from normal-sized (8½" x 11") documents.

This reduction ratio change is done only for entire documents; it is not done for isolated legal size pages contained in regular-size documents (in which case one of the other techniques must be used).

In addition, it should be noted that small type (e.g., 6 point) may, at 29X, be reduced beyond the point of readability on regular microfiche readers and in paper copy reproductions. The combination of very small type and legal size may, therefore, prevent filming at the greater reduction ratio, compelling the document preparer to resort to other techniques.

—Double-Framing

All document pages oriented in a "wrong-reading" position in the document itself, will be filmed in a "right-reading" position on the ERIC microfiche. In order to accomplish this, the page will be filmed so as to occupy a combination of one full frame, the border area normally between frames, and part of a second frame. The maximum page size that can be handled in this fashion is normally 17" (width) x 11" (height), with a standard 24X reduction. Should the entire document be "wrong-reading" and oversize, so that a combination of 29X reduction and double-framing is possible, the maximum document size that could be handled is theoretically 17" (width) x 14" (height). These would be unusual dimensions for an entire document. Double-framing affects the page-stamping operation in the following way. Wrong-reading pages will have to be stamped with two page numbers in order to indicate that they occupy two frames. To avoid confusion, these numbers should, if possible, be stamped on the bottom left and right corners of the page, respectively, as shown in the diagram that follows (Figure V-6).

Please note that the double-framing technique can also be used to film documents that are simply odd-sized, i.e., the document is produced intentionally with its width exceeding its height (and 8½"). Note that a page must only be double-framed on microfiche when the text (not the paper) exceeds 8½" in width.

EDRS turns any double-framed pages to their original orientation (i.e., "wrong-reading") when making reproduced paper copies. This means the resulting copy is oriented the same way as the original document was when issued and therefore blowbacks can be read with no difficulty. Consequently, documents with significant numbers of "wrong-reading" or wide (> 8½") pages may still be entered at Level 1.

—Overlapping Images

If an oversize page cannot be "prepared" so as to fit on one or more independent normal-sized 8½" x 11" pages, if it cannot be encompassed via the double-framing technique (up to 17" wide by 14" high), and if it is not part of an entire legal-size document (up to 10" x 14"), then the only technique remaining is to film the page via a series of overlapping images.

—Tall Pages

Pages (right-reading) on which the printed copy exceeds 11" in height, and which are isolated and not part of a consistently legal-sized document, must be filmed as a series of two or more overlapping pages, and should be number-stamped as shown in Figure V-7(A), with the number preferably centered at the top and bottom of each frame.

—Wide Pages

Pages (both right- and wrong-reading in original document) over 17" in width, which cannot be filmed as one intact double-framed page, must be filmed as a series of overlapping pages. They should be number-stamped as shown in Figure V-7(B), with the page numbers roughly centered at the base of each frame.

—Foldouts (Both Tall and Wide At Same Time)

Foldouts which exceed 17" in width and 11" in height simultaneously, and which cannot be converted, via document preparation, into two or more independent frames of the 8½" x 11", 17" x 8½", or 17" x 11" variety, must be filmed as a matrix of overlapping pages, as shown in Figures V-7(C) and (D).

Number-stamping should proceed left to right in accordance with Figure V-7(D), with the numbers for the top row of images in the top margin, approximately centered in the image areas, and those for the bottom row in the bottom margin, in similar fashion. In the middle row(s), the page numbers of the extreme left and right images should be placed in their respective margins, as shown in Figure V-7(D). Since such foldouts are usually drawings or flow charts, it is usually possible to find a place for the number, in each interior image area, in a location which does not interfere with the information on the page. Almost anywhere in the image area is acceptable, except that the overlap areas should be avoided in order to minimize the chance of confusion if the same number is filmed twice. If space cannot be found for image numbers in interior frames, they may be omitted, provided that the correct numbers for the first and last images in each row appear in their respective margins.

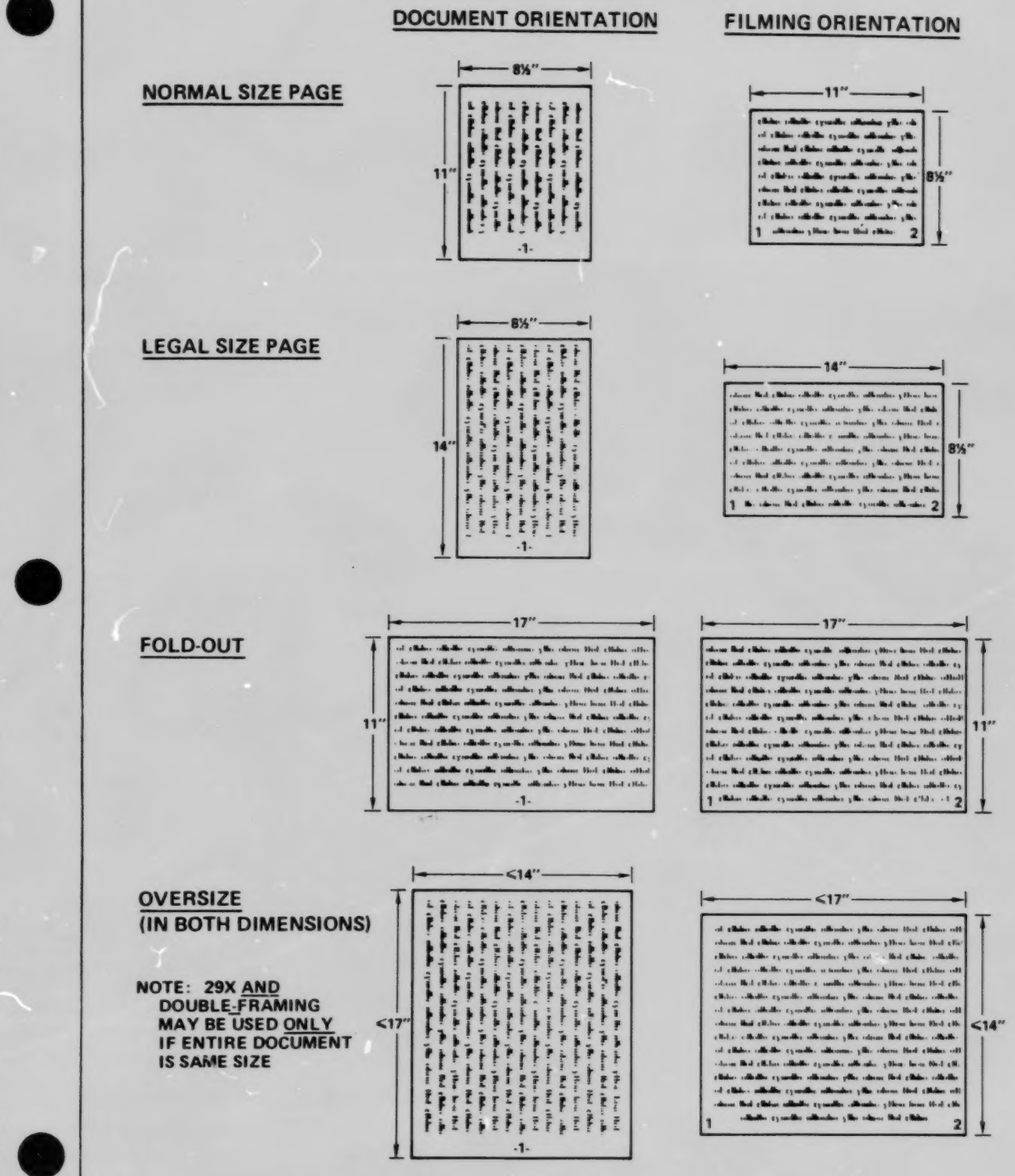


FIGURE V-6: PAGINATION - DOUBLE-FRAMING TECHNIQUES

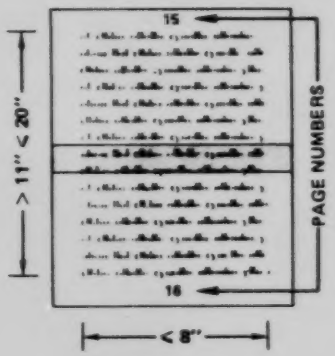


FIGURE V-7(A)

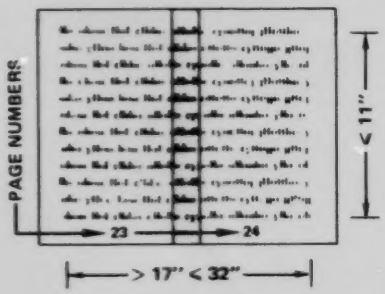


FIGURE V-7(B)

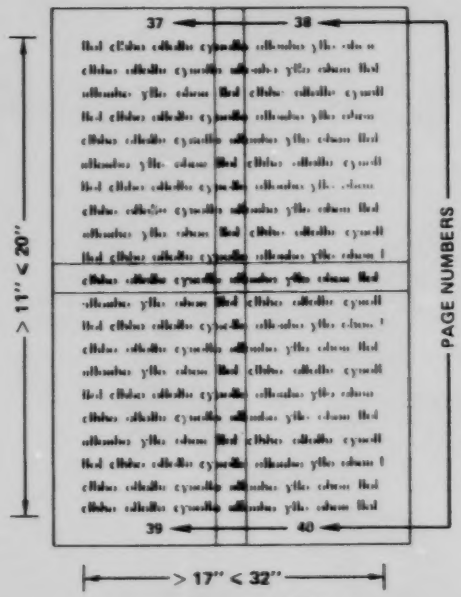


FIGURE V-7(C)

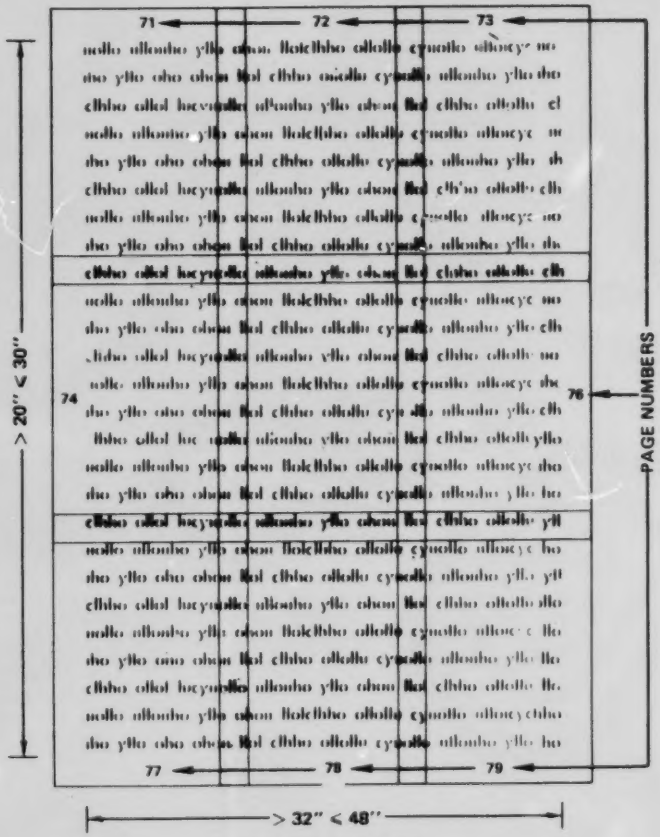


FIGURE V-7(D)

FIGURE V-7: PAGINATION - FILMING PATTERNS WHEN OVERLAPPING IMAGES REQUIRED

CLEARINGHOUSE INPUT
(MANDATORY DATA ELEMENTS/FIELDS)

CLEARINGHOUSE ACCESSION NUMBER — V.B.5

PROFILE

Data Element/Field	- Clearinghouse Accession Number
Data Entry Tag	- CH::
Field ID Number (Tape)	- 17
Character Set	- Alphabetic, Numeric
Mandatory/Optional	- Mandatory
Subfields Permitted	- No
Field Length (Experience)	- 8 (fixed length)
Files	- RIE and CIJE

TYPICAL ENTRY (RIE)

CH::TM123456

TYPICAL ENTRY (CIJE)

CH::TM543210

The Clearinghouse Accession Number is assigned by the ERIC Clearinghouses during their input processing (see Section IV.C.1.j), using the two-character alphabetic prefixes which identify each Clearinghouse, followed by six numeric characters. (See Figure V-8 for a complete list of Clearinghouse prefix assignments.)

The Clearinghouse Accession Number is a temporary accession number that provides identification by Clearinghouse for each record and an in-process control number for use in all technical processes up until the final ED or EJ Accession Number is assigned. The Clearinghouse Accession Number is entered in packed form and without spaces, as shown in the typical entries.

The Clearinghouse Accession Number must be present on a record in order for it to be entered into the ERIC computer system. It is the one element that distinguishes one set of data from another. Data being processed without a Clearinghouse Accession Number or with one in an incorrect format (e.g., error in prefix, too few digits, etc.) will simply be treated as part of the immediately preceding record. Data being processed with a Clearinghouse Accession Number that duplicates a previous number will simply overlay the previous record. For this reason, Clearinghouse Accession Numbers must be unique, sequentially-assigned numbers, and two documents may not be assigned the same number.

CLEARINGHOUSE ACCESSION NUMBER

AA - ERIC Facility (series discontinued temporarily March 1973—April 1979)
CIJE Publisher

AC - Adult Education (merged into CE in 1973)

AL - Linguistics (merged into FL in 1971)

CE - Career Education

CG - Counseling and Personnel Services (CG = Counseling and Guidance)

CS - Reading and Communication Skills

EA - Educational Management (EA = Educational Administration)

EC - Handicapped and Gifted Children (EC = Exceptional Children)

EF - Educational Facilities (merged into EA in 1970)

EM - Educational Media and Technology (merged into IR in 1974)

FL - Languages and Linguistics (FL = Foreign Languages)

HE - Higher Education

IR - Information Resources

JC - Junior Colleges

LI - Library and Information Sciences (merged into IR in 1974)

PS - Elementary and Early Childhood Education (PS = Pre School)

RC - Rural Education and Small Schools

RE - Reading (merged into CS in 1972)

SE - Science, Mathematics, and Environmental Education

SO - Social Studies/Social Science Education

SP - Teacher Education (SP = School Personnel)

TE - Teaching of English (merged into CS in 1972)

TM - Tests, Measurement, and Evaluation

UD - Urban Education (formerly "Urban Disadvantaged")

VT - Vocational and Technical Education (merged into CE in 1973)

FIGURE V-8: CLEARINGHOUSE PREFIX ASSIGNMENTS

SUMMARY OF SIGNIFICANT RULES

1. Clearinghouse Accession Numbers are made up of the standard two-character prefix* identifying each Clearinghouse, followed by six numeric characters, all in packed form, e.g., "TM123456".

2. Clearinghouse Accession Numbers are unique, sequentially-assigned numbers and two documents may not be assigned the same number.

3. Documents appearing in a sequential series or in multiple volumes should be assigned similarly sequential Clearinghouse Accession Numbers, e.g., Vol. 1 = AA001234, Vol. 2 = AA001235, Vol. 3 = AA001236.

4. When referred to within other ERIC records, Clearinghouse Accession Numbers are cited in the format "AA 001 234."

*The prefixes are established by Central ERIC and historically have remained stable despite later name changes. Only major consolidations have brought about prefix changes.

PUBLICATION DATE

V.B.6

PROFILE

Data Element/Field	- Publication Date
Data Entry Tag	- PDAT::
Field ID Number (Tape)	- 23
Character Set	- Alphabetic, Numeric
Mandatory/Optional	- RIE (Mandatory, as of 1982) CIJE (Mandatory, but generated by computer from date information in Journal Citation field)
Subfields Permitted	- No
Field Length (Experience)	- 2 (Min.); 7 (Max.); 5 (Av.)
Files	- RIE and CIJE

TYPICAL ENTRIES (RIE)

PDAT::3May82
PDAT::14May82
PDAT::May82
PDAT::83
PDAT::[82]

TYPICAL ENTRY (CIJE)

None required of cataloger - derived by computer from journal citation and inserted into record in above format.

The Publication Date of the document should be entered with as much precision as the information in the document permits. If no Publication Date, as such, appears on the Title Page or elsewhere in the document, the following may be used, in order of preference:

- Date Work Completed.
- Date Report Submitted.
- Date Paper Presented.
- Copyright Date (Latest).
- Date provided by external documentation (e.g., Letter of Transmittal, Reproduction Release, etc.).
- Date estimated from internal evidence (e.g., latest entries in bibliography).

PUBLICATION DATE

Publication Date is entered in one of the following formats only:

- 3May82
- 14May82
- May82
- 82

Note that only the last two digits of the year of publication are used on the ERIC files. Some of the online retrieval systems, for the sake of consistency throughout their outputs, expand this data element back to its original four characters.

If the Publication Date is determined by the cataloger by inference, or from information not in the document, enclose the supplied date in square brackets, e.g., [14May82].*

Do not leave blanks in the Publication Date field or supply zeroes for missing characters.

Use only the standard three-character abbreviations for the months of the year: Jan, Feb, Mar, Apr, May, Jun, Jul, Aug, Sep, Oct, Nov, Dec. Do not use entries such as: 1973, Win73, Spr73, etc.

Publications which are later editions of originals that were published earlier should be assigned the date of the later edition and not the date of the original.

Importance of Publication Date Field and Its Current Mandatory Status

Publication Date should appear on every document and journal article processed for the ERIC files by the Clearinghouses. Publication Date can be a crucial piece of information to the user attempting to restrict or to evaluate search output. Restricting search output to items prepared in a given time period is the most common and easiest way to "partition" the file and to thereby limit output. When searches employ Publication Date as an element in the search logic, the absence of a date can prevent an otherwise legitimate retrieval from occurring.

Documents generally carry dates on their covers or title pages, or they carry them in their front matter, or the dates can be inferred from internal evidence (including bibliography entries). In addition, contacts with authors or sources via telephone or correspondence can also often reveal dates. With these avenues open to the cataloger, an "educated guess" concerning Publication Date should always be possible in those rare cases where the document is not explicit on the point.

---

*Depending on the data input method being employed, square brackets may be represented by themselves or by some characters that by convention are later converted to square brackets. For example, the ERIC OCR system, operating under the restrictions imposed by the OCR-A typing element, utilizes double braces «« »» to achieve square brackets [] on the tape and in the RIE announcements.

Publication Date was an optional data element until the 1982 edition of the EPM. However, it was present on over 99% of all records. Beginning with this edition of the EPM, Publication Date is made a mandatory data element.

SUMMARY OF SIGNIFICANT RULES

1. Publication Date is a mandatory data element for all RIE and CIJE records.

2. The cataloger must enter Publication Date for all RIE records. Invariably, it either appears explicitly on the document or can be inferred (to at least the year) from internal evidence.

3. The format of data in this field is restricted to

   2 numeric (Day)
   3 alpha (Month)
   2 numeric (Year)

   put together without blank spaces, e.g., 14MAY82.

4. Publication Dates supplied by the catalogers on the basis of information not in the document, or on the basis of non-explicit "clues" contained in the document, should be enclosed in square brackets.

5. In CIJE, the Publication Date field is generated automatically by the computer from the trailing data (i.e., year only) cataloged in the Journal Citation field.

EXAMPLES

DAY, MONTH, YEAR	- PDAT::3May82 PDAT::14May82
MONTH, YEAR	- PDAT::May82
YEAR ONLY	- PDAT::82
DATE SUPPLIED BY CATALOGER	- PDAT::[82]

LEVEL OF AVAILABILITY (AT EDRS) — V.B.7

PROFILE

Data Element/Field	- Level of Availability (at EDRS)
Data Entry Tag	- LEVEL::
Field ID Number (Tape)	- 40
Character Set	- Numeric (1, 2, or 3)
Mandatory/Optional	- RIE (Mandatory) CIJE (Not Used)
Subfields Permitted	- No
Field Length	- 1 (fixed length)
Files	- RIE only

TYPICAL ENTRY (RIE ONLY)

LEVEL::2

Documents are entered into the ERIC data base and announced in RIE at one of three levels of availability, which determine whether and to what extent they can be reproduced by the ERIC Document Reproduction Service (EDRS). (These levels, in turn, are based on the copyright status of the document, the legibility/reproducibility of the document, and the kind of release granted ERIC by the copyright holder.)

Level	Definition
1	Available from EDRS in both microfiche (MF) and paper copy (PC).
2	Available from EDRS in microfiche (MF) only.
3	Not available from EDRS.

Material pertaining to copyright and reproduction release appears in detail elsehwere in the EPM (II.E.8; III.E.; IV.C.1.f) and will not be repeated in its entirety here.

Level 1 Documents (Available from EDRS in both MF and PC)

Documents announced at Level 1 fall into one of three subclasses, as described below:

LEVEL OF AVAILABILITY (AT EDRS)

- Document Not Copyrighted

  These are documents that:

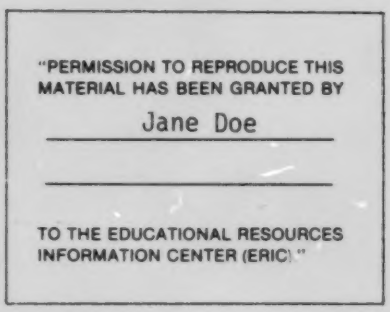
  (1) have been produced or sponsored by the Federal Government (and hence are in the public domain), or

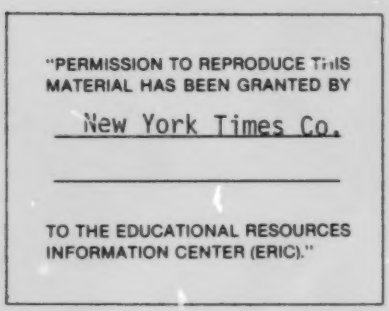
  (2) specifically waive copyright or reproduction rights, or

  (3) were produced before January 1978 (the effective date of the new copyright law) and do not carry a copyright notice or other restriction on reproduction.

- Document Copyrighted: Full Release Obtained

  These are documents that carry a copyright notice, or that were produced after January 1978 (when the new copyright law took effect), and for which the Clearinghouse has on file a release from the copyright holder granting permission for ERIC to reproduce the document in both microfiche and paper copy. Such documents must have a release statement, including the copyright holder's name, affixed to the title page or cover, as follows:


"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
Jane Doe
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."


"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
New York Times Co.
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

  NOTE: Blank stickers are supplied by the ERIC Facility on request. Details on their use are covered in EPM Section IV.C.1.f.

- Government Printing Office (GPO) Documents

  These documents are announced at Level 1 to ensure continued availability after they go out of print at GPO. GPO is cited in the Availability field as an alternative availability, when appropriate.

Level 2 Documents (Available from EDRS in MF Only)

Documents announced at Level 2 fall into one of three subclasses, as described in the following paragraphs. When possible, a source for original copies or paper copy reproductions should always be cited for Level 2 documents.

- Document Copyrighted; Limited Release Obtained

These are documents that either carry a copyright notice, or that have been produced after January 1978, and for which the Clearinghouse has on file a release from the copyright holder granting permission for ERIC to reproduce the document in microfiche only. Such documents must have a release statement, including the copyright holder's name, affixed to the title page or cover, as follows:

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

Richard Roe

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

Pegasus Press Inc.

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

NOTE: Blank stickers are supplied by the ERIC Facility on request. Details on their use are covered in EPM Section IV.C.1.f.

- Documents of Marginal (But Acceptable) Reproduction Quality

Documents of marginal legibility may also be documents that, for various reasons, it is nevertheless desirable to accession into the ERIC system. Level 2 input may often be the best solution in such cases, and the Clearinghouses should not hesitate to use this Level, where appropriate, even if the document was released at Level 1. A microfiche achieves preservation of a basic and important record at relatively low cost whereas the much higher cost (to the user) of a paper copy reproduction requires a correspondingly higher level of legibility in order to be publicly acceptable as a commercial product. Examples of items in this category might be:

(1) PRIORITY documents received from the ERIC Facility bearing the stamp "Best copy available";

(2) ROUTINE documents of marginal physical quality, but classed by the selection criteria as mandatory input, e.g., Clearinghouse "Information Analysis Products";

(3) ROUTINE documents judged to be superior in overall content, but also with legibility/reproducibility defects that would impact paper copy reproductions, e.g., Congressional Hearings.

In all such cases, an explanatory note relating to the unavailability of paper copy should be added to the NOTE field.

- Special Arrangements (with Document Processors)

ERIC has arranged blanket releases for Level 2 processing with certain organizations engaged in selling their own publications. For example, all NEA publications (which are sold by NEA in original copies) may be announced at Level 2. These organizations are persuaded that there is a benefit to them in their documents being in the ERIC data base and that entry at Level 2 (microfiche only) will not interfere with their own sales efforts. All such organizations must be cited as sources of availability for paper copy and to this end a list of them appears as Figure V-15.

Historical Note:

Wide pages (i.e., text wider than 8¼") are filmed by EDRS as one undistorted image extending across two microfiche frames. This double-framing technique improves microfiche usability (all pages are right-reading), but can produce split pages in paper copy blowback from microfiche on some machines. An appreciable number of split pages renders a document difficult to read or reconstruct in paper copy. To avoid this disservice to users, the ERIC Document Reproduction Service (EDRS) now employs a blowback technique that reproduces a double-framed page on only one page and that does not create split pages. It was formerly advisable to process such documents at Level 2 in order to avoid user dissatisfaction (and this explains many earlier Level 2 assignments), but this is no longer the case.

Level 3 Documents (Not Available from EDRS)

Level 3 documents are copyrighted documents (or documents whose reproduction has otherwise been limited or controlled) for which no reproduction release has been obtained. If a document is announced at Level 3, an alternative source must be cited in the Availability field. Level 3 input to the ERIC data base is limited in order to keep the resultant "holes" in the ERIC microfiche collection to a minimum. At the present time, Level 3 input to ERIC amounts to less than 5% of total input.

- Treatment of Analytics

When a document is given "analytic" treatment (that is, when both the entire document and individual sections of it are entered into the system separately), the sections that are separately analyzed should be entered at Level 3. If the basic "parent" document is available from EDRS, a note to that effect should be entered, for the benefit of users, in the Availability field of the analyzed part. (See V.B.21.)

AVAIL::Not available separately, see CE 123 456.

The "Parent" document should likewise carry a Note identifying any of the parts that have been separately analyzed. (See V.B.20).

NOTE::For individual papers, see TM 002 448-496.

NTIS Documents

Documents available from the National Technical Information Service (NTIS) are processed at either Level 1 or Level 3, depending upon the form of the document in hand for processing.

Original Copy (Level 1)

If the Clearinghouse has an original printed copy of the document, as issued by the originating organization, it should be processed at Level 1. The NTIS availability should be cited in the Availability field. (See V.B.21.)

Microfiche or Reproduced Paper Copy (Level 3)

If the Clearinghouse has only a microfiche or reproduced paper copy of an NTIS document, it should be processed at Level 3, and the NTIS availablility cited. (See V.B.21).

Document with Copyrighted Segments

In general, documents should be left intact whenever possible, for the benefit of the user. If a document has copyrighted segments, the conditions under which these segments may be left incorporated in the document are discussed in EPM Section II.E.8.k. If these conditions do not apply and it is still judged important to include the document in the data base, this may be done, provided:

- The copyrighted pages are removed and excluded from the pagination count.
- The utility of the document is not seriously diminished by the removal of the copyrighted pages.
- A note explaining the deletion is entered in the Note field. (See V.B.20.) At the discretion of the cataloger, a note may also be placed in the document at the point of deletion. (See V.B.4.)

Use of Level and Pagination Fields to Generate EDRS Price Field

The EDRS Price Field is not cataloged by either the Clearinghouses or the Facility, but is automatically generated by the computer system on the basis of data found in the Level and Pagination fields.

Each of the three "Levels" generates a different type of statement, as shown below:

Level 1 - MF01/PC01 Plus Postage.

Level 2 - MF01 Plus Postage. PC Not Available from EDRS.

Level 3 - Document Not Available from EDRS.

The MF and PC codes inserted into the statement are based on the pagination and increase according to a graduated scale as shown in Figure V-5, reprinted below:

ERIC PRICE CODES

PAPER COPY

CODE	PAGINATION	PRICE
PC 01	1 - 25	2.00
PC 02	26 - 50	3.65
PC 03	51 - 75	5.30
PC 04	76 - 100	6.95
PC 05	101 - 125	8.60
PC 06	126 - 150	10.25
PC 07	151 - 175	11.90
PC 08	176 - 200	13.55
PC 09	201 - 225	15.20
PC 10	226 - 250	16.85

ADD $1.65 FOR EACH ADDITIONAL 25 PAGES OR FRACTION THEREOF

MICROFICHE

CODE	PAGINATION	FICHE	PRICE
MF 01	1 480	1-5	.91
MF 02	481 - 576	6	1.10
MF 03	577 - 672	7	1.29
MF 04	673 - 768	8	1.48
MF 05	769 - 864	9	1.67
MF 06	865 - 960	10	1.86

ADD $0.19 FOR EACH ADDITIONAL MICROFICHE (1-96 PAGES)

SUMMARY OF SIGNIFICANT RULES

1. All documents entered into RIE must be assigned a Level of Availability code.

   - Level 1 - Available from EDRS in both microfiche (MF) and paper copy (PC).
   - Level 2 - Available from EDRS in microfiche (MF) only.
   - Level 3 - Not available from EDRS.

2. The Level assigned to a document can be no higher than that given in the Reproduction Release label affixed to the front of the document. (Generally the two will agree, but occasionally a document released at Level 1 must nevertheless be assigned Level 2 because of legibility problems.)

3. GPO documents are to be assigned Level 1 (unless legibility problems dictate Level 2).

4. Documents of marginal paper copy reproduction quality should be assigned Level 2.

5. Level 2 documents should have, if possible, a statement concerning paper copy availability added to the Availability field.

6. Level 3 documents must cite a source of availability of paper and/or microfiche copies (in the Availability field).

7. Analytics not filmed separately should be assigned Level 3 (and should have a Note referring back to the "Parent" document for availability purposes).

8. The Level cited on the input form, the shipping log, and the release sticker on the document should be consistent (unless document legibility problems lead to a Level 2 re-assignment where permission was granted originally for Level 1).

TITLE

V.B.8

PROFILE

Data Element/Field	- Title
Data Entry Tag	- TITLE::
Field ID Number (Tape)	- 26
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- Mandatory
Subfields Permitted	- No
Field Length (Experience)	- 4 (Min.); 500 (Max.); 83 (Av.)
Files	- RIE and CIJE

TYPICAL ENTRY

TITLE::Critical Events Shaping Woman's Identity. A Handbook for the Helping Professions. Preliminary Edition.

The Title field should contain the complete title of the document, including alternative title, subtitle, parallel title, English translation of non-English title, series title, "Report covering the period..." statement, edition statement, and other associated descriptive matter usually found on the title page preceding the author and imprint information.

Main Title/Title Proper

The complete document title, as found on the title page, is entered. If the title page of the document is lacking, the cover title must be used as a second choice. In the case of the somewhat informal report literature, the cover and title page are frequently the same piece of paper, in which case there is no problem. However, it also happens on occasion (because of this same informality) that the title appearing inside the document (for example, at the top of the first page of text) varies from the title appearing on the outside cover of the document. In these cases, the cataloger must decide whether the outside cover should in fact be considered the official title page. This will usually depend on the extent of other bibliographic data presented on the page, e.g., Author, Institution, Date of Publication, etc. If the cover does include most of the important bibliographic data, and is obviously the determiner of the way the document is likely to be known and identified, then there is no problem. However, if the cover is merely a brief non-substantive eye-catcher, at variance with an internal fully descriptive title, then the standard library practice of relying on inside title page over cover should be followed. This question of

cover vs title page is not an easy one, and guidelines are difficult because of the large number of troublesome variations that can be met with. A helpful discussion of Title-selection problems can be found in the *Anglo-American Cataloguing Rules* (Section 1.1).

The general rule for the recording of a Title, as given by the *Anglo-American Cataloguing Rules* is "Transcribe the title proper exactly as to wording, order, and spelling, but not necessarily as to punctuation and capitalization." (For more on punctuation and capitalization, see the last part of this section.)

Note that this rule implies that initial articles in the title are to be recorded and are not to be dropped. For purposes of printed index production, however, the ERIC computer system prints but ignores initial articles in any sorting filing done by title.

Alternative Titles

An alternative title is the second part of a title that consists of two parts, each of which is a title in itself. An alternative title should be cataloged as if it were part of the main title, e.g.:

TITLE::The Tempest, or, The Enchanted Island.

Note, however, that the first word of an alternative title should be capitalized.

Parallel Titles

A parallel title is the main title repeated on the document in another language. Standard library practice is to place an equals (=) sign between such titles, e.g.:

TITLE::Road Map of Switzerland = Carte routiere de la Suisse.

Fabricated Titles/Supplied Titles

If no title can be found, one must be fabricated on the basis of an examination of the document. The table of contents, chapter headings, and conclusions can be helpful in supplying a title. When a title is fabricated, all the text that is supplied must be enclosed in square brackets, e.g.:

TITLE::[NUEA Correspondence Study. A Survey Questionnaire and Summary of Replies.]

TITLE::1980 [Chancellor's Report].

Subtitles

The subtitle is considered a part of the title and is transcribed in the same manner as the title proper. A subtitle preceding the title on the title page is transposed to follow the main title. Title may be separated from subtitle by a semicolon, comma, colon, period, question mark, or exclamation mark. The first choice is to follow the actual punctuation used on the document.

Where the document provides no explicit guidance, punctuation of the title/subtitle combination will be necessarily subjective and will depend on how the cataloger reads and interprets the title.

NOTE: Standard library practice, following the International Standard Bibliographic Description (ISBD) and the *Anglo-American Cataloguing Rules*, is to separate major units of title information by a colon, e.g.:

TITLE::SPSS Primer: Statistical Package for the Social Sciences Primer.

ERIC has not incorporated ISBD guidelines into its cataloging practice as yet and therefore the punctuation between title and subtitle in ERIC records will vary.

Some examples of title/subtitle combinations follow:

TITLE::Everybody's Business. A Book about School Discipline.

TITLE::Analyzing Media: Metaphors as Methodologies.

TITLE::What Are the Impacts? A Report on Homemaking Education.

TITLE::How Dare You! The Art of Bluffing.

TITLE::1980 [Chancellor's Report].

TITLE::Winterthur, an Adventure in the Past.

TITLE::"Kilroy Was Here." An Analysis of a World War II Myth.

- Report Statements (as Subtitles)

Information relating to the type of report and period covered by the report, is considered part of the title and is entered in the subtitle position, as shown in the following examples:

TITLE::Mexican-American Study Project. Revised Prospectus.

TITLE::Essex County College Cost Fact Finding Committee. Final Report.

TITLE::Focus on Refugees. Draft.

TITLE::The Hispanic Female Head-of-Household. Interim Report.

TITLE::Families in Turmoil. Transcript.

TITLE::The Urban Education Network. Progress Report for the Period May 1981 - April 1982.

TITLE::Federal-State Environmental Programs. Report to the Congress by the Comptroller General of the United States.

A report statement preceding in title proper on the title page is transposed to the subtitle position.

Non-distinct Report Numbers, and those that cannot be reduced to a form suitable for the Report Number field (i.e., that do not have an alphabetic prefix), are cataloged as Report Statements, e.g.:

TITLE::Store Management Guide. Information Leaflet No. 224.

TITLE::Vocational Assessment. Policy Document 6.

TITLE::Computer-Aided Research in Machine Translation.
Reports 10 and 11.

The words "Number," "Numbers," "No.," "Nos." are normally transcribed as they appear on the title page, and are not arbitrarily added in cases where they are missing.

- Edition Statements (as Subtitles)

Information relating to the edition, revision status, volume, part, etc., of the document is considered part of the title and is entered as shown in the following examples:

TITLE::Focus on Refugees. Second Edition

TITLE::Focus on Refugees. Revised Edition.

TITLE::Focus on Refugees. New Edition.

TITLE::Focus on Refugees. Partly Revised.

TITLE::Focus on Refugees. New Edition Revised and Enlarged.

TITLE::Focus on Refugees. Volume 3.

TITLE::Focus on Refugees. Volume IX.

TITLE::Focus on Refugees. Part V.

- Series Titles (as Subtitles)

A series is a number of separate works issued in succession, and related to one another by the fact that each bears a collective title (generally appearing at the head of the title page). They are normally issued by the same publisher or institution, in a uniform style, and are frequently in a numerical sequence. A document issued in several parts or volumes with the same title is not considered a series.

The series title should be entered following the specific title of the document. The series statement includes: the distinctive collective title; and, in a numbered series, the number of the particular document, as in the examples below:

TITLE::A Report on the Low Ability Student at Miracosta College. Student Personnel Studies, Section G.

TITLE::Facilitating Learning and Individual Development, Toward a Theory for Elementary Guidance. Minnesota Guidance Series.

TITLE::Teaching Rhythm. Music for Today, Series 2, No. 8.

TITLE::The London Times. Great Newspapers Reprinted No. III.

Non-English Titles

If a document is in a language other than English, enter the Main Title in the language of the document. Follow this with the English translation in parentheses, as in the following example:

TITLE::Lecciones de Quechua. Primer Nivel, Segundo Nivel (Quechua Lessons. First Level, Second Level).

If a document is in Cyrillic (Russian) characters, transliterate the title into Roman characters in accordance with Z39.24 *System for the Romanization of Slavic Cyrillic Characters*. Additional Z39 transliteration standards exist per: Japanese, Arabic, Hebrew, Lao/Khmer/Pali, and Armenian.

If a document cites its title in both the language of the document and in English, this would be considered a parallel title and should be entered according to the rules for parallel title, e.g.:

TITLE::Wood Cree = Les Cris de forets.

Titles in English, containing a reference to a non-English phrase or word, need not translate the non-English component.

Multi-Volume Documents

If a document is issued in several volumes or parts under one title, enter the main title and add the volume or part number (and the distinctive title of the particular volume, if any), as in the examples below:

TITLE::A Potpourri of Ideas for Teachers of the Mentally Retarded. Volume II, The Practical Arts.

TITLE::Curriculum for Early Childhood Education. Parts 1-5.

TITLE::The Changing Academic Market. Volumes 1 and 2.

NOTE: It is not necessary to bracket supplied connectives, like "and" above.

TITLE::NASA's Role in Aeronautics. Volume VI, Aeronautical Research. Volume VII, Background Papers.

TITLE::Resources for Schools: 8. A Review of Statewide Assessment Findings.

Conference Proceedings Titles

When the entire proceedings of a conference, workshop, seminar, or other meeting, are entered, the title should be taken verbatim from the title page, except that the number of a conference appearing in the title should be removed from its position and placed in parentheses after the title, as shown in the following example:

TITLE::Summary of the Proceedings of the Working Conference on Language Development in Disadvantaged Children (3rd).

When the date and/or place of the conference also appear in the title, or are clearly indicated on the title page or elsewhere in the document, they should also be moved and included in the parentheses in standard form in the order: number; place; date, as shown in the following example:

TITLE::The Future of Language Education. Proceedings of the Annual Foreign Language Conference (31st, Columbus, Ohio, November 13, 1965).

Street addresses and the names of particular hotels at which conferences are held are not cataloged.

NOTE: When individual papers or speeches (as opposed to complete conference proceedings) are entered into the system, they are cataloged under their individual title and all descriptive information relating to the conference or meeting at which the paper or speech was presented is entered in the Descriptive Note field (see V.B.20).

Congressional Hearing Titles

Hearings of the Senate and House of Representatives of the U.S. Congress and their various Committees should include in the Title field information as to the number and session of the Congress, as shown in the following example:

Subject-oriented Title

Administrative Subtitle (Optional)

Congress/Committee Information

TITLE:: **Sex Discrimination Regulations. Review of Regulations to Implement Title IX of Public Law 92-318. Conducted Pursuant to Sec. 431 of the General Education Provisions Act. Hearings Before the Subcommittee on Postsecondary Education of the Committee on Education and Labor. House of Representatives, Ninety-Fourth Congress, First Session (June 17, 20, 23-26, 1975).**

Date of Hearings
(May be omitted from title if it is only a single day and is same as day used for Publication Date.)

60

NOTE: The vast majority of hearings are held in Washington, DC. The geographic location of hearings should be recorded as part of the title only when they are not held in Washington, DC.

Journal "Theme Issues" Titles

If an entire journal issue devoted to a single topic is being cataloged as if it were a monograph, the journal name goes as usual in the Journal Citation field (see V.B.9) and the "Theme" title should be used as the title of the "monograph," e.g.,

TITLE::Education in South America.
JNL::American Education; v24 n3 Jul 1982

Duplicate Titles

- Different Documents

Different documents with duplicate titles do occur. Sometimes they are produced by different preparers out of sheer coincidence. Other times they occur simply because the preparer did not vary the title of a preliminary report from that of a final report. Sometimes they occur unnecessarily because a cataloger did not catalog a truly complete title statement, or because the cataloger incorrectly cited the series title (common to many items) before the unique main title.

It is always helpful to the user if such items can be differentiated from one another. This is best done if the titles themselves can be made to vary in some legitimate way. Sometimes this can be done by the addition to the title of such distinguishing information as:

Volume 1, Volume 2
Final Report, Interim Report
Preliminary edition, Final edition
January 1977, February 1977
#1, #2
1975, 1976
Sixth edition, Seventh edition
Supplement, Second Supplement

Where this can legitimately be done without doing violence to the rules of cataloging, it should be done. When the titles can be varied in some informative way, the user is benefited in a number of instances: *Title Index* entries, microfiche headers, abbreviated online search output, etc. In all these cases, duplicate titles are troublesome to the user because accessions become hard to tell apart without additional research. A small variation at the end of the title, placed there by a helpful cataloger, can sometimes bypass such problems altogether.

- Duplicate Documents

In the above situation, the problem is that two different documents may not be distinguishable if they end up with the same title. There are other instances where the danger is that two duplicate documents may not be detected because their titles are cataloged differently. This usually occurs because of variations in recording subtitles. The following examples are of some situations to be guarded against, where duplicate titles or subtitles were recorded differently by different catalogers, thereby creating, as far as the computer is concerned, different items:

[Subtitle]. Phase I of...
[Subtitle]. Phase 1 of...

[Main Title]. Awards and Prizes.
[Main Title]. Awards & Prizes.

[Subtitle]. Fastback Series No. 64.
[Subtitle]. Fastback Series 64.

[Subtitle]. Final Report 1974-75.
[Subtitle]. Final Report.

[Main Title]. Are They Helping Children?
[Main Title]. Are They Helping Children? A Report.

[Subtitle]. Evaluation Report, FY73.
[Subtitle]. FY73 Evaluation Report.

Long Titles

The size limitation on the Title field is 500 characters. The vast majority of document titles do not approach this size and can be recorded in their entirety without any problem. On rare occasions, however, a title page is so communicative that it becomes necessary to truncate an excessively long title at a logical break point.

The following title is an actual example that exceeds 500 characters in its natural state. One possible truncation is shown in the example:

TITLE (Over 500 characters): Assessment of the school career and health record for children attending school abroad. 2nd part. Consisting of appendices to the preliminary report on national experience acquired in the use of the school career and health record: i. Questionnaire sent to national administrations; ii. Request for further information on the record (CD 15); iii. "The use of the school career and health record as proposed by the Council of Europe - An evaluation survey." Preliminary report for the European Commission.

ACCEPTABLE TRUNCATION BY CATALOGER

Assessment of the School Career and Health Record for Children Attending School Abroad. 2nd Part. Consisting of Appendices to the Preliminary Report on National Experience Acquired in the Use of the School Career and Health Record:...Preliminary Report for the European Commission.

Punctuation and Capitalization of Titles

- Initial articles, prepositions, and conjunctions are retained and are capitalized.
- All words in English titles are written with initial capitals except for articles, prepositions, and conjunctions (e.g., the, to, in, and, but, as, etc.) that are not first words. (For other exceptions see sections on Alternative Titles, Parallel Titles, and Non-English Titles.) However, "to" is capitalized when used as the first element of an infinitive.
- All special characters in the ERIC Character Set may be recorded as used on the document, including the question mark and exclamation mark.
- Words in the title are not abbreviated unless abbreviated on the document; at the same time, abbreviations appearing in the title are not gratuitously spelled out.
- Titles may include numbers in any position. Care should be taken not to key the lower case "l" (el) instead of a genuine "1" (one) and not to key an "O" (oh) instead of a genuine "0" (zero).
- Punctuation between Main Title and Subtitle may be a comma, semicolon, colon, dash, period, question mark, or exclamation mark, depending on the usage of the document or the judgment of the cataloger as to the appropriate punctuation. In the Title field the semicolon does not function as a subfield delimiter.
- Parallel titles are separated by an equal sign (=).
- Fabricated or supplied titles are enclosed in square brackets.
- All titles should normally end with a period. There are three exceptions: (1) supplied title, in which case title and concluding period are enclosed in square brackets; (2) title ends with a quotation mark, in which case the *GPO Style Manual* calls for the period to come inside the quotation mark; (3) title ends in a question mark or exclamation mark.

SUMMARY OF SIGNIFICANT RULES

1. The title proper should be transcribed exactly as to wording, order, and spelling, but not necessarily as to punctuation and capitalization.

2. Titles should be recorded as on the document and should not be changed arbitrarily, e.g., (1) to make a "maverick" title conform to the others in a related group, or (2) to change state names to the two-character postal abbreviation. However, conference proceedings data (number, place, date) are standardized and placed in parentheses.

3. Phrases designating a "Final Report" or "Progress Report" should be placed in the subtitle position (along with the period covered). Series titles should be placed in the subtitle position and should generally not precede the distinctive specific title for the document in hand.

4. Non-English titles must be translated for the benefit of ERIC users. If the ERIC document processor provides the English translation, it is appended in parentheses to the real title. If, however, the document provides its own translated title, it should be treated as a "parallel title" (q.v.), without parentheses.

5. When complete conference proceedings volumes are being entered as single accessions, it is appropriate to put the complete Conference information in the Title field. However, when single papers from conferences are being entered, each paper will have its own title and the conference information will then descend to the Descriptive Note field. (See V.B.20.)

6. "Theme issues" of journals being entered as single accessions on single subjects (i.e., as monographs) should have their titles cataloged as the "theme title" (and not the journal title). The journal title will, of course, be cataloged in the Journal Citation field.

7. Wherever feasible, documents with duplicate titles should have those titles differentiated by the addition of some distinguishing feature, e.g., Final/Interim; #1/#2; 1975/1976; Sixth edition/Seventh edition; Supplement; Volume 1/Volume 2; Preliminary/Final; etc.

8. Titles are limited to 500 characters. Titles exceeding that limit should generally be truncated by the cataloger at some logical break. If this is not done, the computer system will simply stop the title at 500 characters.

9. If no title exists, one must be supplied. Fabricated/supplied titles must be enclosed in square brackets.

10. In the area of punctuation and capitalization: initial articles are retained; words in the title are not abbreviated or spelled out unless abbreviated or spelled out on the document; words in the title are written with initial capitals except for articles, prepositions, and conjunctions that are not the first word in a title; titles normally close with a period. The semicolon does not function in this field as a subfield delimiter and may be used as a normal element of punctuation.

11. The title entered on the preliminary duplicate checking tool, the *Acquisitions Data Report* (ADR), and the title ultimately selected for final cataloging, may not always agree. The ADR title (which may be recorded by non-cataloging staff) should, in general, adhere to EPM conventions when possible, but the final cataloged title should never be "forced" to match the "preliminary" ADR title when that ADR title is later determined to be incorrect or inadequate.

EXAMPLES

ROUTINE TITLE	TITLE::Critical Events Shaping Woman's Identity.
TITLE WITH SUBTITLE	TITLE::Critical Events Shaping Woman's Identity. A Handbook for the Helping Professions.
ALTERNATIVE TITLE	TITLE::The Tempest, or, The Enchanted Island.
PARALLEL TITLE	TITLE::Road Map of Switzerland = Carte routiere de la Suisse.
SUPPLIED TITLE	TITLE::[NUEA Correspondence Study.]
TITLE WITH REPORT STATEMENT	TITLE::The Urban Education Network. Progress Report for the Period May 1981-April 1982.
TITLE WITH EDITION STATEMENT	TITLE::Focus on Refugees. Second Edition.
TITLE WITH SERIES TITLE	TITLE::Facilitating Learning. Minnesota Guidance Series No. 5.
NON-ENGLISH LANGUAGE TITLE	TITLE::Lecciones de Quechua (Quechua Lessons).
TITLE OF ONE VOLUME OF MULTI-VOLUME DOCUMENT	TITLE::Teaching the Mentally Retarded. Volume II, The Practical Arts.
TITLE OF ONE DOCUMENT IN MULTI-VOLUMES	TITLE::NASA's Role in Aeronautics. Volume VI, Aeronautical Research. Volume VII, Background Papers.
	TITLE::The Changing Academic Market. Volumes 1 and 2.
TITLE OF CONFERENCE PROCEEDINGS	TITLE::Proceedings of the Annual Foreign Language Conference (31st, Columbus, Ohio, November 13, 1965).
TITLE OF CONGRESSIONAL HEARINGS	TITLE::Sex Discrimination Regulations. Hearings before the Subcommittee on Postsecondary Education of the Committee on Education and Labor. House of Representatives, Ninety-Fourth Congress, First Session (June 17, 20, 23-26, 1975).

JOURNAL CITATION

V.B.9

PROFILE

Data Element/Field	- Journal Citation
Data Entry Tag	- JNL::
Field ID Number (Tape)	- 50
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- CIJE (Mandatory) RIE (Optional)
Subfields Permitted	- Yes (Normal Entry Requires 2)
Field Length (Experience)	- RIE : 49 (Av.); 138 (Max.) CIJE: 41 (Av.); 252 (Max.)
Files	- RIE and CIJE

TYPICAL ENTRY

JNL::Agricultural Education Magazine; v42 n7 p11-14 Jan 1982

Journal Articles in RIE

Articles from journals (and serials of all types) normally appear in *Current Index to Journals in Education* (CIJE). Journal articles may not be announced in RIE if they have been or will be announced in CIJE. However, journal articles or entire journal issues may occasionally be entered into *Resources in Education* (RIE), in lieu of CIJE, if they meet certain criteria, e.g.:

- a theme issue of a journal (in which all articles deal with a unified subject) which can legitimately be treated as if it were a report or monograph on the theme subject.
- an older article, not covered by CIJE at the time of original publication; no longer eligible for CIJE because of its age, but highly relevant to ERIC and a desirable addition to the data base.
- an article reprinted as a technical report (or as part of a report) for which a reproduction release has been obtained; not previously covered by CIJE or containing additional material in its new form.
- a significant article (for which a reproduction release has been obtained) appearing in a journal or serial not covered by CIJE and sufficiently obscure that it could not be expected to be found in conventional library systems.
- a complete "run" (e.g., a year's worth) of a significant and relevant serial dealing with a unified subject matter (e.g., a newsletter) and for which a reproduction release has been obtained so that it may be put on microfiche for preservation purposes.

Citation Format

The format for data in the Journal Citation field should be: Journal Title (unabbreviated) in the first subfield, followed by the identification for the journal issue and the article location in the second subfield. Usually the second subfield will consist of volume number, issue number, inclusive pagination, and date of publication, in that order; however, journal issues identify themselves in a great variety of ways and the second subfield should express that identification in whatever terms are necessary. (See the Examples for some non-routine forms.) The second subfield should always end with the year of publication. In CIJE, in order to avoid redundant cataloging, this data is used by the computer program to automatically construct a Publication Date (PDAT) field. (See V.B.6.)

The Journal Title should be entered in full unabbreviated form, with the exception of initial articles (e.g., "The"), which are dropped*. The CIJE Publisher provides a master list (*Source Journal Index*) of regularly covered journals citing the approved journal titles. For journals not on this list, consult *Ulrich's Guide to Periodicals*. The Journal Title subfield must always be followed by a semicolon (the standard subfield delimiter).

The theme titles of theme issues of journals are unique to that particular issue and should therefore not be treated as journal titles, but should instead be treated in the main TITLE field (if the entire issue is the accession, as it generally is in RIE) or the NOTE field (if an article in the theme issue is the accession).

Exception: Current CIJE practice is to put the theme title in parentheses after the journal title in the Journal Citation field. See Examples.

Abbreviations and Conversions

The journal article location data in the second subfield should appear as shown in the Examples. The common abbreviations used are as follows:

v = volume	pt = part		Spr = Spring	Aut = Autumn
n = number	suppl = supplement		Sum = Summer	Win = Winter
p = pages	spec iss = special issue		Fall = Fall	

There should not be any space between the v, n, p abbreviations and the numbers to which they apply.

Months of the year should be abbreviated to the standard 3-character representations: Jan, Feb, Mar, Apr, May, Jun, Jul, Aug, Sep, Oct, Nov, Dec

Volume and issue information expressed in Roman numerals should be converted to Arabic in the citation.

Note that the inclusive pagination statement must, in certain situations, drop initial repetitive digits in the figure for the last page. This is done for reasons of space economy, but is avoided below "100" and whenever the article

*Through 1970 (the first four years of RIE; the first two years of CIJE) journal titles were abbreviated according to ANSI Standard Z39.5 "Periodical Title Abbreviations." Subsequently, the full journal title was utilized.

spans from any given hundred range to the next. Inclusive pagination is entered in "packed" format, without spaces after the commas. The conventions to be observed are illustrated in the following examples:

p5
p1-10
p11-14,72-73
p111-14,172-73,401-06
p111-210
p1120-22
pA98-A99
p102s-03s

When the item being entered is an entire issue of a serial, it is not necessary to specify inclusive pagination, as is appropriate for a single article.

Exception: Current CIJE practice is to specify inclusive pagination for all records, including entire issues. See Examples.

Special Procedure for "Oneshot" Articles in CIJE

The CIJE Publisher needs to be able to identify "oneshot" items as distinct from items coming from regularly covered journals. This facilitates the process of validating input against the Source Journal Authority File and of constructing the "Source Journal Index." Only the Clearinghouses know which items are "one-shots" and this information must therefore be recorded at input time. The information is, however, not useful to end users and can be eliminated from the CIJE announcement and from the CIJE Master File. The form for entering this information is as follows:

JNL::Wisconsin Law Review; v1980 n6 p1105-19 Feb 1980; oneshot

The word "oneshot" in the third subfield of the example above is used for internal processing purposes, but is deleted prior to Master File update and publication.

SUMMARY OF SIGNIFICANT RULES

1. If the item being cataloged is a journal article or an issue of a serial publication, the Journal Citation field should always be completed.

2. An entry in the Journal Citation field of RIE requires the cataloger to make a corresponding entry of code 080 (Journal Article) or 022 (Serial Issue) in the Publication Type field (See V.B.11.) However, in CIJE processing the computer automatically assigns Publication Type code 080 to all CIJE records.

3. Journal Title should be entered in unabbreviated form, with the exception that initial articles are dropped (e.g., The Atlantic Monthly = Atlantic Monthly). Use the *Source Journal Index* as the authority for all approved journal names. (If in doubt about the correct way to cite a new Journal Title, use the standard periodical reference *Ulrich's Guide to Periodicals*.) Journal Titles are entered in the first subfield of the field.

4. Information concerning the location of the article within the journal is entered in the second subfield. Certain abbreviations are permitted in this subfield for standard words such as Volume, Number, Pages, etc., and for inclusive paginations containing repetitive digits.

5. The standard format for article location information is "v12 n34 p56-78 Jan 1989". For variations on this basic format caused by complex journal publishing patterns, see the Examples.

6. When the item being entered is an entire issue of a serial, it is not necessary to specify inclusive pagination, as is appropriate for a single article.

   Exception: CIJE treats inclusive pagination as mandatory.

7. "Theme" titles applicable only to unique single issues of journals should not be considered Journal Titles, but should be cataloged in the Title field (if the entire issue is the accession) or the NOTE field (if an article in the theme issue is the accession).

   Exception: Current CIJE practice is to put the theme title in parentheses in the Journal Citation field, immediately preceding the volume indication (see Examples).

8. "Oneshot" journal articles should be identified by having the word "oneshot" entered in the third subfield. It will be used for internal processing needs, but will later be deleted from the journal announcement and from the Master Files.

9. With rare exceptions, articles from journals and other serials are to be announced only in CIJE. Multiple announcement in both CIJE and RIE is not permitted.

EXAMPLES

- Day of Month Given

  Journal of Health & Human Behavior; v7 n3 p1221-34 Sep 5 1966

- Issue Covers Multiple Months

  Journal of the American Society for Information Science; v23 n5 p292-98 Sep-Oct 1972

- Volume Only, No Number

  Kentucky English Bulletin; v16 p450-65 Fall 1966

- Supplement

  Counselor's Information Service; v33 n2 suppl 2 p20-25 May 1978

- Special Issue (in lieu of volume/number)

  Connections; spec iss 2 p7-9 Sep 1981

- Multiple Numbers Assigned to One Issue

  Remedial Reading Review; v14 n5-6 p32-35 Nov-Dec 1981

  (NOTE: The form "Nov-Dec" must be used in lieu of "Nov/Dec")

- Year Given as Span of Years

  Adolescence; v6 n2 p10-15 1981-82

  (NOTE: The form "1981-82" must be used in lieu of "1981-1982")

- Oneshot Article (CIJE Only)

  Life; v82 n3 p24-30 Mar 1982; oneshot

- Number Only, No Volume, Date Spans Months and Years

  PRISE Newsletter; n11 p125-50 Sep-May 1979-80

- Series Designation in Lieu of Volume

  Current Population Reports; Series P-27 n52 p7-9 Sep 1979

- Part in Lieu of Number

  British Journal of Educational Psychology; v50 pt5 p26-32 Feb 1980

- Journal Title in All Capitals

  CAUSE/EFFECT; v3 n3 p20-21 May 1980

- Non-English Journal Title

  Francais dans le Monde; v152 p32-33 Apr 1980

- Continuing Pagination

  Creative Computing; v7 n9 p18,20,22,26-27,30,34-36 Sep 1981

- Unusual Journal Title

  onComputing; v2 n2 p18-19 Sum 1980

- Journal Title/Subtitle Combination

  Alternative Higher Education: The Journal of Nontraditional Studies; v4 n4 p274-82 Sum 1980

- Acronymic Journal Title

  ADE Bulletin; n63 p1-9 Feb 1980

- No Month in Date

  Social Behavior and Personality; v7 n1 p17-27 1979

- Distinguishing Two Journals with Identical Titles

  Adult Education
  Adult Education (London)

- Theme Issue (with Theme Title "South America Today")

  RIE
  NOTE::Theme issue with title "South America Today."

  CIJE
  JNL::Reading Research Quarterly; (South America Today) v7 n2 p1-134 Apr 1982

- Entire Issue Entered as One Accession*

  Nurse Educator; v17 v2 Jul 1982

- Year Run of Serial Combined (by Clearinghouse) into One Accession*

  Connect; v3 n1-4 Jan-Dec 1978

- Scattered Issues Combined (by Clearinghouse) into One Accession*

  Higher Education Review; v12 n1,3,7 Jan,Mar,Jul 1980

- Scattered Issues (Spanning Years) Combined (by Clearinghouse) into One Accession*

  Higher Education Review; v12 n1,3 Jan,Mar 1980 v13 n2,7 Feb,Jul 1981

Exception: CIJE treats inclusive pagination as mandatory and would incorporate total journal pagination in all four of the above examples.

*Entire issues of serial publications (e.g., theme issues), or several issues groups together (e.g., newsletter run), as one accession, are usually restricted to RIE. Entries in CIJE tend to be for individual journal articles, not entire issues or groups of issues.

LANGUAGE OF DOCUMENT

V.B.10

PROFILE

Data Element/Field	- Language of Document
Data Entry Tag	- LANG::
Field ID Number (Tape)	- 76
Character Set	- Alphabetic
Mandatory/Optional	- Mandatory (if left blank and no language entered, computer program inserts "English")
Subfields Permitted	- Yes (Up to 5)
Field Length (Experience)	- 5 (Min.); 46 (Max.); 7 (Av.)
Files	- RIE (since January 1979, ED-157 988) CIJE (since January 1979, ED-186 218)

TYPICAL ENTRY

LANG::English; French

This data element was added to the file beginning with the January 1979 issues of *Resources in Education* (RIE) (ED-157 988) and *Current Index to Journals in Education* (CIJE) (EJ-186 218). Prior to that time the language of the document was noted in unstructured, narrative form in the NOTE field, a practice that has been discontinued. The purpose of this field is to permit searchers to restrict their output to materials in the language(s) they can utilize.

The language of the document is to be entered in the form of the full text of the name of the language. An authority list of the principal language names to be employed is displayed in Figure V-9. These names correspond in format to those appearing in the ERIC *Thesaurus* or *Identifier Authority List*, both of which may also, therefore, be used as authority lists for this data element.

If the document is entirely in the English language, however, this field should be left blank. The computer program will automatically write "English" in this field if it is left blank and no foreign language is entered. The purpose of this "default to English" is to save the Clearinghouses data entry time, since the vast majority of ERIC accessions are English-language documents. If the document is in English and one or more other languages, "English" must be added to the field along with the other language(s).

Non-English documents carrying English abstracts (or abstracts in any language other than the text) should not be considered to be English language (or abstract language) documents. An abstract alone should not be used to determine the language of the document.

LANGUAGE OF DOCUMENT

Documents that are instructional texts in one or more languages present a special problem. Typically such documents are basically in English, but many contain large amounts of material in the language being taught (usually in the form of examples or passages to be read). Such a document should be cataloged as in the language that its basic instructional text is in. The examples or illustrative passages in a language-teaching document are not the basic instructional text of the document and do not contain its "message." They would be meaningless without the accompanying text. As a rule, therefore, language-teaching documents should not be cataloged as if they were actually in the language being taught. The language being taught will rather be indexed as the subject of the document.

The language of a document is its vehicle of communication and should not be confused with a language that is a subject of a document. A language being treated as a subject is indexed in the Descriptor field or Identifier field.

Afrikaans
Akan
Albanian
Aleut
Amharic
Apache
Arabic
Armenian
Athapascan
Aymara
Azerbaijani
Baluchi
Basaa
Bashkir
Basque
Bemba
Bengali
Bielorussian
Bikol
Bini
Bulgarian
Buriat
Burmese
Burushaski
Cakchiquel
Cambodian
Cantonese
Cebuano
Chamorro
Cheremis
Cherokee
Chiluba
Chinese
Chinyanja
Choctaw
Chuvash
Cree
Czech
Dagur
Danish
Dusun
Dutch
Dyula
English
Esperanto
Estonian
Ewe
Finnish
Foochow
French
Fulani
Ga
Ganda
Gbaya
German
Greek
Guarani
Gujarati
Gullah
Haida
Haitian Creole
Hausa
Hawaiian
Hebrew
Hindi
Hopi
Hualapai
Hungarian
Ibo
Igbo
Ilocano
Indonesian
Interlingua
Inupiaq
Italian
Japanese
Javanese
Kabyle
Kannada
Kashmiri
Kinyaruanda
Kirghiz
Kirundi
Kituba
Korean
Kurdish
Lao
Latin
Latvian
Lingala
Lithuanian
Luo
Malagasy
Malay
Malayalam
Manchu
Mandarin Chinese
Mandingo
Maranao
Marathi
Mauritian Creole
Mende
Middle English
Mongolian
Mossi
Navajo
Nembe
Nepali
Norwegian
Ojibwa
Okinawan
Old English
Ossetic
Ostyak
Panjabi
Papago
Pashto
Persian
Polish
Pomo
Portuguese
Quechua
Quiche
Riff
Rumanian
Russian
Salish
Samoan
Sango
Sanskrit
Sara
Serbocroatian
Shona
Sierra Leone Creole
Singhalese
Siswati
Slovak
Slovenian
Somali
Spanish
Susu
Swahili
Swedish
Tagalog
Tajik
Tamil
Tatar
Telugu
Thai
Tibetan
Tlingit
Turkish
Tzeltal
Tzotzil
Ukrainian
Urdu
Uzbek
Vietnamese
Visayan
Vogul
Welsh
Wolof
Yakut
Yiddish
Yoruba
Yucatec
Yupik
Yurak

FIGURE V-9: LANGUAGE AUTHORITY LIST

SUMMARY OF SIGNIFICANT RULES

1. Documents in non-English languages (or in English and non-English languages) must have the names of those languages entered in this field (up to a limit of five).

2. If a document is entirely in the English language, this field should be left blank. The computer will then insert the word "English" by default.

3. Documents that are instructional texts in a given language should generally not be described as in the language being taught.

4. The names of languages are entered in their full textual form and must agree with the form of the name in the ERIC *Thesaurus* or *Identifier Authority List*. (However, do not subdivide languages, e.g., Arabic (Egyptian).)

EXAMPLES

Document in English	LANG:: (NOTE: Field to be left blank in cataloging)
Document in a Language Other than English	LANG::French
Document in Multiple Languages (one of which is English)	LANG::English; French; German; Russian; Spanish

NOTE: Language names need not be entered in any particular order.

PUBLICATION TYPE

V.B.11

PROFILE

Data Element/Field	- Publication Type
Data Entry Tag	- PUBTYPE::
Field ID Number (Tape)	- 19
Character Set	- Numeric
Mandatory/Optional	- Mandatory
Subfields Permitted	- Yes (up to 3)
Field Length (Experience)	- 3 (Min.); 9 (Max.); (4 Av.)
Files	- RIE (since September 1974, ED-090 358) CIJE (since August 1979, EJ-199 007)

TYPICAL ENTRY

PUBTYPE::150; 143; 160

The Publication Type field is designed to carry up to three 3-digit numeric codes, each designating a broad category or type of document or literature. It is emphasized that the purpose of the field is to describe the form of the document itself, not the subject of the document.

The numeric codes, and the categories they represent, are displayed in two figures. Figure V-11 is a summary listing of the codes and their meanings. Figure V-12 provides detailed Scope Notes and examples of documents in each type. In addition, Figure V-13 is an alphabetic index leading the cataloger from various types of publications to the most appropriate category (or categories).

This is a mandatory data element and is to be included in the cataloging for both RIE and CIJE.

Basic Concept of Form Tagging

The Categories that appear in the Publication Type list are intended to describe the organization or form of a document, as contrasted to the subject content of a document. For example, a bibliography, a directory, a dissertation, a regulation, a test, a teacher guide, are all particular ways in which information on a topic may be arranged, organized, presented, displayed, etc., for the user. Knowing that an item is expressed in one of these forms may tell the user something about the uses to which it can be put, but tells the user nothing about the discipline, science, research/problem area, or social concern that is being dealt with.

Some categories are more abstract than others. The categories "Books," "Journal Articles," and "Speeches" are virtually "empty containers" in which anything might reside and in which any topic (or other form, for that matter) can be found. The categories "Dissertations" and "Tests," on the other hand, are not so "empty" and communicate much more information about the organization and structure the user will find in such an item. Nonetheless, the information communicated still pertains strictly to the organization/display/array/layout/treatment/structure/form of the material and not to any subject matter that it may address.

The different levels of form categories create a complex situation. A given item may be a "Journal Article," but it may also be a "Research Report." A "Book" may also be a compilation of "Statistical Data." In order to resolve this problem, it is necessary to permit the cataloger to make multiple category assignments. Up to three form assignments are permitted. However, most documents will not require that many and can be categorized adequately with one or two codes.

It is crucial, however, for the cataloger to keep in mind that Publication/Document Type deals with form and not content. To assign the category "Bibliographies" is to say that an item is organized as a bibliography; it is not necessarily about bibliographies. To assign an item the category "Reference Materials" is to say that it is either wholly or substantially a reference document; it is not necessarily about reference.

Virtually all of the category names have the potential of referring to content. For example, it is possible to conceive of a research report the subject of which is the bibliometry of journal articles. For this reason, most of the category names can also be found to exist as Descriptors in the ERIC *Thesaurus*, or as authorized Identifiers in the *Identifier Authority List*.

Application

The present Publication Type categorization scheme is designed to supplement Descriptor indexing, not to replace it. Descriptors assigned to a document identify a variety of useful information about the item (e.g., subject content, educational level dealt with, age level dealt with, validation status, research methodology employed, tests utilized, form of document, etc.). However, the exact function that each Descriptor is actually performing in this regard is not noted in ERIC or for that matter in most Descriptor indexing systems (systems employing "roles" are the exception).

Descriptors (keywords, index terms, subject headings, etc.) have become the most common way of accessing the literature, and retrieval systems are generally designed to rapidly manipulate these small units of language. Retrieval problems can arise when the user wishes to distinguish documents about a topic, e.g., Tests, from those that actually are Tests. The Publication Type code is intended to provide a means for the user to make this distinction, while at the same time not interfering with the assignment of the useful word tags (i.e., Descriptors) on which most retrieval operations are based.

The Publication Type categories provide for the partition of the file into 35 broad segments. Every document in RIE and every journal article in CIJE must be assigned a PUBTYPE code. In many cases, one category will be sufficient; however, in cases of complex documents, up to three categories may be assigned. NOTE: The computer system automatically assigns 080 (Journal Article) to all CIJE records. No action is required by the cataloger to assign this code to CIJE records.

In most instances, a Descriptor (e.g., DIARIES) describing the form or type of the document will be assigned to the Descriptor field as a minor Descriptor. However, certain specific exceptions to this rule have been established: When the Descriptor is synonymous with or corresponds essentially to the Pubtype Category (e.g., SPEECHES, BOOKS, DIRECTORIES), that Descriptor may not be assigned to the Descriptor Field, unless the Descriptor also represents the subject of the document. For example, a speech about preparing for college would be assigned Pubtype Code 150 (Paper presented at...) and perhaps a Descriptor like COLLEGE BOUND STUDENTS; but a speech about how to actually give speeches would be assigned Pubtype Code 150, and the Descriptor SPEECHES would then legitimately be assigned in the Descriptor Field to describe the item's subject matter.

The Descriptors that correspond exactly to publication type categories, or that are considered sufficiently parallel to Publication Type categories that they should not be used as index terms unless they reflect subject matter, are flagged in the ERIC *Thesaurus* and carry the following note in the Scope Note area of the Thesaurus entry: "Note: Corresponds to PUBTYPE Code_____. Do not use except as the subject of a document." There are 20 Descriptors that carry the warning; they are listed below along with their corresponding PUBTYPE codes.

DESCRIPTOR	PUBTYPE CODE
AUDIOVISUAL AIDS	100
BIBLIOGRAPHIES	131
BOOKS	010
CONFERENCE PAPERS	150
CONFERENCE PROCEEDINGS	021
DICTIONARIES	134
DIRECTORIES	132
DOCTORAL DISSERTATIONS	041
GUIDES	050
MASTERS THESES	042
PRACTICUM PAPERS	043
REFERENCE MATERIALS	130
REPORTS	140
RESEARCH REPORTS	143
SERIALS	022
SPEECHES	150
STATISTICAL DATA	110
TESTS	160
THESES	040
VOCABULARY	134

FIGURE V-10: DESCRIPTORS CORRESPONDING WITH PUBLICATION TYPE CATEGORIES

SUMMARY OF SIGNIFICANT RULES

1. Publication Type is a mandatory data element for all RIE and CIJE input. At least one code must be assigned to each record; a maximum of three may be assigned.

2. Publication Type codes designate the form of the document, not its subject matter.

3. Certain Descriptors (see Figure V-10) that are identical to the names of Publication Type categories (e.g., Tests) should not be used at all in indexing unless they clearly represent the subject matter of the document. All other Descriptors that represent form (e.g., Diaries) should generally be used in indexing as minor terms.

4. In CIJE, the Publication Type code 080 (Journal Articles) will be assigned automatically by the computer system to all records.

5. Entire conference proceedings (code 021) should be distinguished from individual conference papers (code 150). Entire issues of serials (code 022) should be distinguished from individual articles from serials (code 080). Either code 080 or 022 should be assigned to every record containing an entry in the Journal Citation field.

6. All ERIC Clearinghouse Publications should be assigned Publication Type 071.

EXAMPLES

- A Bibliography — PUBTYPE::131

  (NOTE: Code 131 = Reference Works - Bibliographies)

- A Script for Use in a Dramatics Class — PUBTYPE::030; 051

  (NOTE: Code 030 = Creative Works
  Code 051 = Instructional Materials)

- A Paper Presented at the Annual Meeting of the X Society, Reporting on Research and Containing a Copy of a Survey Instrument Sent to 5,000 Scientists — PUBTYPE::150; 143; 160

  (NOTE: Code 150 = Papers presented at...
  Code 143 = Research Reports
  Code 160 = Questionnaires)

- An ERIC Clearinghouse Publication (will have a Clearinghouse as either Institution or Sponsor) — PUBTYPE::071

PUBLICATION TYPE

CODE	PUBLICATION TYPES
010	BOOKS
	COLLECTED WORKS
020	– General
021	– Conference Proceedings (See also 150)
022	– Serials
030	CREATIVE WORKS (Literature, Drama, Fine Arts)
	DISSERTATIONS/THESES
040	– Undetermined
041	– Doctoral Dissertations
042	– Masters Theses
043	– Practicum Papers
	GUIDES
050	– General
	– Classroom Use
051	– For *Learner* (Instructional Materials)
052	– For *Teacher* (Teaching Guides)
055	– Non-Classroom Use (For *Administrative and Support Staff, Teachers, Parents, Clergy, Researchers*)
060	HISTORICAL MATERIALS
070	INFORMATION ANALYSES (Literature Reviews, State-Of-The-Art Papers)
071	– ERIC Clearinghouse Publications
080	JOURNAL ARTICLES (Assigned Automatically by Computer System to All CIJE Records)
090	LEGAL/LEGISLATIVE/REGULATORY MATERIALS
100	AUDIOVISUAL MATERIALS
110	STATISTICAL DATA (Numerical/Quantitative)
120	VIEWPOINTS (Opinion Papers, Position Papers, Essays, etc.)
	REFERENCE MATERIALS
130	– General
131	– Bibliographies
132	– Directories/Catalogs
133	– Geographic Materials
134	– Vocabularies/Classifications/Dictionaries/Glossaries
	REPORTS
140	– General
141	– Descriptive (Program/Project Descriptions)
142	– Evaluative/Feasibility
143	– Research/Technical
150	SPEECHES, CONFERENCE PAPERS (Individual) (See also 021)
160	TESTS, EVALUATION INSTRUMENTS
170	TRANSLATIONS
999	OTHER/MISCELLANEOUS (Not Classifiable Elsewhere) (Avoid use of this category, if at all possible)

FIGURE V-11: PUBLICATION TYPES AND CODES

CODE	TYPE/CATEGORY	SCOPE/DEFINITION
010	BOOKS	Pure form or "empty container" Should also be categorized elsewhere when possible.
020	COLLECTED WORKS – General	Collections of separate works, composite works, materials of mixed or diverse character or multiple focus.
021	– Conference Proceedings	Records, minutes, proceedings, summaries of conferences, meetings, colloquia, symposia, seminars, workshops, congresses, etc. Intended for documents representing entire conferences. Should also be categorized elsewhere when possible.
022	– Series	Serial (entire): periodicals, bulletins, newsletters, newspapers, collections of articles, sections of journals. Does not include numbers in a monographic series. For individual journal articles use JOURNAL ARTICLES (080)
030	CREATIVE WORKS (Literature, Drama, Fine Arts)	Poetry, literary works, essays, novels, short stories, children's books, satire and humor, anecdotes, fairy tales, children's stories, fiction, proverbs, facetiae, quotations, maxims, belles lettres, correspondence, etc. Performing arts materials, dramas, plays, scenarios (movies, TV), scripts, theatre pieces, musical scores, ballets. If specially intended as instructional materials, use also INSTRUCTIONAL MATERIALS (051)
040	DISSERTATIONS/ THESES – Undetermined	Dissertations, theses, practicum papers.
041	– Doctoral Dissertations	
042	– Masters Theses	
043	– Practicum Papers	
050	GUIDES – General	Materials designed for immediate and practical use by either student, teacher, administrative or support personnel. These practitioner-oriented materials are subdivided into those intended for classroom use and those not intended for classroom use. Use the general category only when the document does not fall in one of the subcategories below.
051	– Classroom Use: Instructional Materials (For Learner)	Instructional materials: readings, programmed texts, manuals, laboratory manuals, outlines, texts, workbooks, syllabi, study guides, orientation materials, textbooks, handbooks, exercises, learning modules, problems, resource guides. Materials intended for direct instruction of the learner: materials presenting the substantive information that forms the content of instruction.
052	– Classroom Use: Teaching Guides (For Teacher)	Curriculum guides, course outlines, units of study, lesson plans, teaching guides, reader guides, statements of behavioral objectives. Include Resource Guides (teacher oriented), even if a combination of other types, e.g., Directories, Bibliographies. Materials intended as guides for the teacher – they may contain instructional materials, sample examinations, suggested learning activities, etc. Includes teaching tips, teaching techniques, "How to Teach" materials.
055	– Non-Classroom Use (For Administrative & Support Staff and for Teachers, Parents, Clergy, Researchers, Counselors, etc. in Non-Classroom Situations)	Techniques for support and administration, e.g., how to conduct teacher evaluation, how to conduct inservice programs, guides for research methodology, etc. Manuals, guides, guidelines, handbooks – intended to provide substantive information on "What exists" or "How to do it" for the educational support population. Booklets, pamphlets, brochures, circulars, notices treating or explaining various factual matters within the educational community, e.g., types of jobs available. Guides intended for teachers, but not directly related to instruction, e.g., tips for better parent conferences.

CODE	TYPE/CATEGORY	SCOPE/DEFINITION
060	HISTORICAL MATERIALS	Histories, historical reviews, historical accounts, oral history transcripts, primary historical source materials and documentation.
070	INFORMATION ANALYSES (Literature reviews, state-of-the-art papers)	State-of-the-art summaries (comprehensive treatments, overviews), trend analyses, "What research says ..." "What we presently know in a given area." Information analyses and synthesis, focusing on findings and not simply on bibliographic citations, summarizing the substance of the literature and drawing conclusions from it. Distinct from annotated bibliographies. NOTE: See also BIBLIOGRAPHIES (131)
071	– ERIC Clearinghouse Publications	Publications F...ared by the ERIC Clearinghouses (or any other component of the ERIC System). NOTE: Should also be categorized elsewhere, when appropriate.
080	JOURNAL ARTICLES	Pure form or "empty container." Should also be categorized elsewhere when possible. NOTE: For entire Journal issues use SERIALS (022). Assigned Automatically by Computer System to all CIJE Records.
090	LEGAL/ LEGISLATIVE/ REGULATORY MATERIALS	Legislation, legislative hearings and testimony, legislative reports, congressional documents, state legislature documents, laws, summaries of legislative action, lobbying position papers. Court cases, courtroom testimony, court decision, legal decisions, legal interpretations. Regulations, regulatory agency materials (directed at regulation). Codes, administrative codes, codes of student behavior, agreements, rules, policy statements, master plans, contracts (model), collective bargaining agreements, and other materials governing the behavior of various groups. Standards (e.g., ANSI, ISO, FIPS). Specifications. Accreditation standards. Professional standards. Executive Orders, Federal Register pronouncements.
100	AUDIOVISUAL MATERIALS	Non-print media, audiovisual aids, films, tapes, recordings, cassettes, phonodiscs, videotapes, slides, illustrations, portraits, caricatures, cartoons, photographs, posters, models, flip charts, engineering drawings, computer programs, flow charts, designs, plans, etc. Graphic, pictorial and other non-print representations, conveying meaning primarily through symbols other than words. Usually appear in ERIC only as supporting or collateral material to a basic printed document.
110	STATISTICAL DATA (Numerical, quantitative, etc.)	Numerical data, quantitative data, statistics, statistical compilations, data aggregations, tables. CAUTION: *Do not overuse. Use only when quantitative data is present in large aggregations, e.g., as in NCES documents. The routine presence of quantitative data in Research Reports is not sufficient to categorize here.*
120	VIEWPOINTS (Opinion papers, position papers, essays, etc.)	Opinion papers, point of view, position papers, recommendations, "Blueprints" for proposed action. Debates, interviews, panel discussions, questions and answers, dialogues, transcripts. Essays, short expository/speculatory papers, "think" pieces, philosophical pieces, criticism, interpretation, editorials, pros and cons. NOTE: Testimony for legislative purposes should be categorized under LEGAL/LEGISLATIVE/ REGULATORY MATERIALS (090).
130	REFERENCE MATERIALS – General	Materials designed for reference use, as contrasted to materials designed for cover to cover reading and study. (Continued)

FIGURE V-12: PUBLICATION TYPE CATEGORIES AND THEIR DEFINITIONS

CODE	TYPE/CATEGORY	SCOPE/DEFINITION
130 (Cont.)	REFERENCE MATERIALS -- General (Cont.)	(Continued) Four special kinds of reference materials have been individually established as subcategories and should be used when appropriate. Use the general category only when the document does not fall in one of the subcategories below.
131	-- Bibliographies	Bibliographies, filmographies, discographies, annotated bibliographies, book catalogs, book lists, abstracts (collections of), indexes (locaters) to bibliographic materials, topical listings of various media materials. Include bibliographic essays, literature searches (output of), guides to or descriptions of the literature in a field. NOTE: For literature reviews analyzing the substance of the literature use INFORMATION ANALYSES (070 or 071).
132	-- Directories/ Catalogs	Directories of persons, organizations, institutions, etc. Membership lists. Tables of Contents. Include reference works dealing with organizations/ institutions. Catalogs of products, lists and arrays of "things" e.g., pseudonyms, job descriptions, sources, acronyms, abbreviations, etc. For bibliographic catalogs, use BIBLIOGRAPHIES (131). Selection criteria will eliminate most catalogs.
133	-- Geographic Materials	Atlases, gazetteers, geographic charts, cartographic materials, maps, zoning charts, school district maps.
134	-- Vocabularies/ Classifications/ Dictionaries	Dictionaries, vocabularies, nomenclature, terminology, glossaries, thesauri, word/term lists, phrase books. Taxonomies, classification schemes.
140	REPORTS -- General	Three specific kinds of reports have been individually established as subcategories and should be used when appropriate. Avoid multiple assignments within this category when possible. Use the general category only when the report does not fall in one of the subcategories below.
141	-- Descriptive	Project descriptions, program descriptions, reports of organizational activities. "This is how we do it." "What I do in my class." Descriptions of systems, procedures, or practices in actual cases. (Continued)

CODE	TYPE/CATEGORY	SCOPE/DEFINITION
141 (Cont.)	-- Descriptive (Cont.)	(Continued) Descriptions of significant events, personal narratives/ experiences, journalistic accounts of actual activities and occurrences. Descriptive works of various types. Includes annual reports (of organizations), yearbooks. Prefer REPORTS -- RESEARCH (143) if study contains original research.
142	-- Evaluative/ Feasibility	Studies evaluating research, alternative courses of action, or the merits of a particular product, process, or program. Studies of feasibility of a given course of action. Evaluations of programs. Test Reviews. Studies oriented toward decision-making and concerned with judgments rather than generalizations. Prefer REPORTS -- RESEARCH (143) if study contains original research.
143	-- Research/ Technical	Original research, technical research, reports, studies, empirical results, experimental/ statistical studies, surveys, case studies, theory testing, systematic investigations, seeking facts and/ or generalizable principles. Emphasis on materials utilizing a formal research design, but may include informal reports and verbal presentations of such efforts. Include proposals for needed research.
150	SPEECHES/ CONFERENCE PAPERS	Addresses, Lectures, Papers presented at ... Pure form or "empty container." Should also be categorized elsewhere when possible. NOTE: Reserved for single papers. For entire CONFERENCE PROCEEDINGS use 021.
160	TESTS/ EVALUATION INSTRUMENTS	Questionnaires, tests, examinations, evaluation and measurement devices, test specifications, compilations of tests, opinion polls (instruments), assessment tools, reporting booklets, rating scales, test manuals, etc. CAUTION: *Do not overuse. Use only when entire instrument is actually present in document.*
170	TRANSLATIONS	To be applied to any document translated into English from an original non-English language text. Should also be classified elsewhere when possible.
999	OTHER MISCELLANEOUS (Not Classifiable Elsewhere)	Items not classifiable into the other categories, e.g., vitae, puzzles, etc.

FIGURE V-12: PUBLICATION TYPE CATEGORIES AND THEIR DEFINITIONS (CONTINUED)

PUBLICATION TYPE	PUBTYPE CODE MOST APPLICABLE
Abstracts	131
Administrator Guides	056
Annotated Bibliographies	131
Annual Reports	141
Answer Keys	160
Answer Sheets	160
Anthologies	020
[Archival Documents]	080
Atlases	133
Audiodisc Recordings	100
Audiotape Recordings	100
● Audiovisual Aids	100
Autobiographies	080
● Bibliographies	131
Biographical Inventories	080 (132)
Biographies	080
[Booklists]	131
● Books	010
Book Reviews	070
Bulletins	022
[Bylaws]	090
Cartoons	100 (030)
Case Records	141 or 143 or 140
Case Studies	141 or 143 or 140
Catalogs	132
Charts	100
Check Lists	130 or 160
[Childrens Books]	010, 030
Childrens Literature	010, 030
Chronicles	080 (020)
Citation Indexes	131
[Class Newspapers]	022
[Classroom Games]	051 (100)
[Classroom Materials]	051 or 052
Codes of Ethics	090
Comics (Publications)	030
Computer Output Microfilm	100
Computer Programs	100
[Concordances]	134
● Conference Papers	150
● Conference Proceedings	021
[Conference Summaries]	021
Contracts	090
Course Descriptions	052 or 050 or 051
[Courtroom Transcripts]	090
[Creative Works]	030
Curriculum Guides	052 or 050 or 051
[Data Sheets]	110 or 130
Diagrams	100
Diaries	120 (060 or 030)
● Dictionaries	134
[Dictionary Catalogs]	131
● Directories	132
[Discipline Codes]	090
Discographies	131
● Doctoral Dissertations	041
Documentaries	100 (141)
Drama	030
Editorials	120
Encyclopedias	130
[ERIC IAPs]	071
Essays	120 or 030
[Evaluation Studies]	142
Facility Guidelines	056
Faculty Handbooks	056
Feasibility Studies	142

PUBLICATION TYPE	PUBTYPE CODE MOST APPLICABLE
Filmographies	131
Films	100
Filmstrips	100
Flow Charts	100
Foreign Language Books	010 (170)
Foreign Language Films	100 (170)
Foreign Language Periodicals	022 (170)
Games	999 or 051
Glossaries	134
Graphs	100
Guidelines	050 or 052 or 056
● Guides	050 or 051 or 052 or 056
Hearings	090
[Historical Reviews]	080
Illustrations	100
Indexes	130 or 131
[Information Analyses]	070 or 071
Instructional Materials	051
Interviews	120 or 160
Item Banks	160
[Journal Articles]	080
[Journals]	022
[Judicial Materials]	090
Kinescope Recordings	100
Laboratory Manuals	051
[Language Guides]	051 or 130 (170)
Large Type Materials	051
Leaders Guides	052
[Lecture]	150 (051)
[Legal Analysis]	090
Legislation	090
Lesson Plans	052
Letters (Correspondence)	030
[Literature Guides]	131
Literature Reviews	131 (070)
[Lobbying Papers]	090 and 120
Magnetic Tape Cassettes	100
Magnetic Tapes	100
[Manuals]	050 or 051 or 052 or 056
Maps	133
Master Plans	090
[Master Tapes (Audio)]	100
● Masters Theses	042
Matrices	100
Microforms	100
Models	100 or 143
[Musical Materials]	030
Negotiation Agreements	090
Newsletters	022
Newspapers	022
Nonprint Media	100
Opinions	120
[Oral History Transcripts]	080
Pamphlets	Document Dependent
[Parent Guides]	056
Patents	090
Periodicals	022
Permuted Indexes	130 or 131

PUBLICATION TYPE	PUBTYPE CODE MOST APPLICABLE
[Phonograph Records]	100
Photographs	100
Poetry	030
Position Papers	120
● Practicum Papers	043
Program Descriptions	141
Program Evaluation	142
Program Guides	141
Program Proposals	141
[Programed Texts]	010 and 051
Puzzles	999
Questionnaires	160
Rating Scales	160
[Recommendations]	120
Records (Forms)	100 or 110 or 050 group
● Reference Materials	130 (010)
[Regulations]	090
● Reports	140
[Research Methodology Guides]	056
Research Proposals	143
● Research Reports	143
[Research Reviews (Publications)]	070
Resource Materials	050 or 051 or 052 or 056
Scholarly Journals	022
School Newspapers	022
School Publications	Document Dependent
Scripts	030
● Serials	022
Short Stories	030
Slides	100
Specifications	090
● Speeches	150
Standards	090
State of the Art Reviews	070
● Statistical Data	110
Student Publications	Document Dependent
Study Guides	051
Surveys	160 or 143
Tables (Data)	110
Talking Books	100
Tape Recordings	100
[Taxonomy]	134
Teaching Guides	052
[Technical Reports]	143
Test Reviews	142
● Tests	160
Textbooks	010 and 051
Thesauri	134
● Theses	040
[Transcripts (Interview)]	120
[Transcripts (Legal)]	090
[Transcripts (Oral History)]	080
Videodisc Recordings	100
Videotape Recordings	100
● Vocabulary	134
Word Lists	134
Workbooks	051
Worksheets	051
Yearbooks	141 (022)

FOOTNOTES: 1. All terms not in brackets have been selected from the ERIC *Thesaurus*.

2. Conventions: A or B = one or the other category is appropriate, depending on item.
   A and B = two categories are appropriate.
   A (B) = a second category might be appropriate, depending on item.
   * = category and term are synonymous. Term should be used in descriptor field only when it denotes subject matter.

3. These terms, like all other Descriptors identifying the form or type of a document, should be used as major Descriptors only when they represent the subject of the document in hand.

FIGURE V-13: **GUIDE FOR ASSIGNING PUBTYPE CODES (A CROSS-REFERENCE FROM SPECIFIC KINDS OF DOCUMENTS TO MOST APPLICABLE PUBLICATION TYPE CODE)**

(Bracketed terms are not Descriptors)

DESCRIPTORS

V.B.12

PROFILE

Data Element/Field	- Descriptors
Data Entry Tag	- DESC::
Field ID Number (Tape)	- 35
Character Set	- Alphabetic, Numeric, Special (Parentheses only)
Mandatory/Optional	- Mandatory (at least one Major)
Subfields Permitted	- Yes
Field Length (Experience)	- 10 (Min.); 699 (Max.); 218 (Av.)
Files	- RIE and CIJE

TYPICAL ENTRY

DESC::*Reading Diagnosis; Reading Tests; *Beginning Reading; Kindergarten; Grade 1; *Visual Discrimination; Reading Research; *Predictive Validity; Eye Hand Coordination; Handwriting; Spelling; Primary Education

This field is reserved for the entry of valid Descriptors, which are defined as indexable (Main) terms appearing in the *Thesaurus of ERIC Descriptors*. Other terms that appear in the *Thesaurus*, such as Used For references (from Synonyms to Main Terms) and Invalid Descriptors (former Descriptors that have been discontinued and that have their "life span" indicated by beginning and ending dates in parentheses), may not be used in this field. Subject indexing terms that do not appear in any form in the ERIC *Thesaurus* may be entered in the Identifier field (See V.B.24), provided they follow the guidelines in Section VIII, Part 2 of this manual.

Instructions for Indexing appear in Section VII of this manual.

Instructions for introducing new Descriptors appear in Section VIII, Part 1 of this manual.

Indexing Depth

The depth of indexing given a document (i.e., number of terms assigned) depends upon the significance of the document, its scope, its size, and, to a lesser extent, the subject area, so it is not possible to either require a fixed number of terms or to set any absolute maximum. However, as a general guide, the average number of terms assigned each document in RIE is slightly more than eleven (11), and this is a reasonable average. Some documents will require more terms for adequate indexing, and many (if not most) will require fewer. Since RIE documents are, on the average, considerably longer than articles in CIJE, the number of terms assigned to documents is usually greater than the number assigned to articles. The average number of terms assigned an article in CIJE

is seven (7). Use of the most specific applicable Descriptors will generally permit staying within limits.

Major Descriptors

Major Descriptors are those that indicate the major subjects of the document/article. Major Descriptors are tagged with a preceding asterisk (*) on the resume form (and in the computer record). All index terms not preceded by an asterisk are automatically considered "Minor" for that document. Any index term may be Major or Minor, depending on the document.

The purpose of tagging Major Descriptors is to:

- Identify those Descriptors that are to become entries in the RIE/CIJE printed Subject Index. Since at least one Major Descriptor must be assigned to each record, this ensures at least one subject route to the record via the printed indexes. The rule restricting the total number of major indexing terms is necessary in order to keep the printed indexes from becoming excessively large.

- Identify the principal subject(s) in the document/article for users scanning resumes (in RIE/CIJE, on microfiche, or on computer terminals), thereby providing information helpful in the evaluation and determination of relevant references.

- Permit discrimination in computer searching between major and minor subject indexing.

AT LEAST ONE MAJOR DESCRIPTOR MUST BE ASSIGNED. A total of not more than five (5) Major Descriptors are permitted if there are two (2) Major Identifiers; a total of not more than six (6) Major Descriptors are permitted if there is one (1) or no Major Identifier. THE TOTAL NUMBER OF ALL MAJOR INDEXING TERMS (DESCRIPTORS AND IDENTIFIERS TOGETHER) MAY NOT EXCEED SEVEN (7).

Educational Leveling Terms

All documents and articles must be tagged with Descriptors indicating the educational level they deal with, if they deal with such a level. (See Section VII, item I.3.a.(1) of this manual.)

Publication Type Terms

Descriptors that duplicate exactly the names of Publication Type categories, should not be used as index terms (either Major or Minor) unless the concept is the subject of the document (and not just its form). The 20 Descriptors so limited are discussed in greater detail in Section VII, item I.3.d of this manual.

Format

- Each Descriptor, except the last, is followed by a semicolon (the standard subfield delimiter) and a space.
- The only punctuation permitted in the Descriptor field (other than the subfield delimiter) are parentheses, which are used to set off parenthetical qualifying phrases.
- There is not requirement for any particular order or sequence of Descriptors, and Major Descriptors do not have a precede Minor Descriptors, or vice versa.
- Descriptors are to be spelled exactly as they appear in the most recent edition of the *Thesaurus* (Working Copy). Spacing of multi-word Descriptors must conform precisely to that in the *Thesaurus*, e.g. "Check Lists" not "Checklists"; "Programing (Broadcast)" not "Programming (Broadcast)"; "Postsecondary Education" not "Post Secondary Education."
- Descriptors are normally entered with the first letter of each word capitalized. Articles, prepositions, and conjunctions are not capitalized when used in Descriptors, unless they appear as the first word, e.g., "Adjustment (to Environment)", "Food and Drug Inspectors," "Off the Job Training" (see Figure VII-10.)
- The formally published edition of the *Thesaurus* is prepared in upper and lower case. The internal computer-printed "Working Copy" edition is, however, printed in all upper case and terms must, therefore, be converted manually to upper/lower case format by the indexer at the time of indexing. One should index from the "Working Copy" since the formally published edition becomes rapidly out-of-date.

SUMMARY OF SIGNIFICANT RULES

The rules for the selection of Descriptors in the indexing process are covered in detail in Section VII of the EPM, dealing with "Indexing." The rules for the structuring of new Descriptors not yet in the *Thesaurus* are covered in detail in Section VIII, Part 1 of the EPM, dealing with "Vocabulary Development and Maintenance." Therefore, the rules covered here have been restricted to those pertaining to the data entry of Descriptors.

1. Descriptors used in the indexing process must be in the *Thesaurus of ERIC Descriptors* and must be spelled and spaced exactly as they appear in the most recent Working Copy edition of the *Thesaurus*.

2. Descriptors expressing the "major" subject matters of a document/article must be preceded by an asterisk (*) in order to distinguish them from the less substantial or "minor" topics, and to designate entries for the printed subject indexes.

3. At least one (1) major Descriptor must be assigned to each ERIC record; not more than five (5) major Descriptors are permitted for each record (six if only one or no major Identifier is used). There is, however, no upper limit on the total number of Descriptors that can be used to index a given record; the average for RIE is around eleven (11) per document.

4. Multiple Descriptors are separated by semicolons, followed by a space.

5. If a document is concerned with a particular educational (grade/academic) level, the indexer must provide a Descriptor indexing the document to that level. (See list of mandatory educational-level Descriptors in Figure VII-2).

6. Descriptors are written with initial capital letters. Except when used as the initial word, articles, prepositions, and conjunctions are not capitalized in a Descriptor.

7. Descriptors are written without punctuation or special characters, with the sole exception being parentheses (to enclose a qualifier).

8. Descriptors that duplicate exactly the names of Publication Type categories should not be used as index terms (either Major or Minor) unless the concept is the subject of the document (and not just its form). (The 20 Descriptors so limited are listed in Figure V-10.)

9. There is no requirement for Descriptors to be entered in any particular order or sequence, i.e., Descriptors do not have to be entered in alphabetic sequence and Major Descriptors do not have to precede Minor Descriptors, or vice versa.

ABSTRACT/ANNOTATION

V.B.13

PROFILE

Data Element/Field	- Abstract/Annotation
Data Entry Tag	- ABST::
Field ID Number (Tape)	- 44
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Mandatory) CIJE (Optional)
Subfields Permitted	- No
Field Length (Experience)	- RIE —21 (Min.); 3,045 (Max.); 1,011 (Av.) CIJE—3(Min.); 720 (Max.); 235 (Av.)
Files	- RIE and CIJE

TYPICAL ENTRY (RIE)

ABST::Negative preconceptions about the disadvantaged often hinder the effectiveness of teachers and administrators in schools in culturally depressed areas. Most disadvantaged children are not hostile or unresponsive, nor do they need special discipline. They and their parents often have high, even unrealistic, educational aspirations. Teachers should encourage in the children the self-discipline that leads to academic success, which, in turn, would break the self-fulfilling prophecies of failure. (AA)

TYPICAL ENTRY (CIJE)

ABST::Discusses the characteristics of written composition that can be applied to successful speech communication. (HTH)

Abstracts for RIE are preferably of the Informative type, in which the abstract actually contains some of the information transmitted by the document and stands as a small scale substitute for the entire document. Certain kinds of documents require Indicative abstracts, in which the abstract serves as a Table of Contents, telling the user what may be found in the document, but without substantive detail. Mixed Informative/Indicative abstracts are permitted in selected situations. Abstracts are limited to approximately 200 words.

Annotations for CIJE journal articles are not mandatory, but are strongly recommended and should always be prepared whenever the title is not adequately explanatory of the contents of the item. Annotations are limited to approximately 50 words.

Discussions of the rules and requirements for preparing Abstracts (for RIE) and Annotations (for CIJE) are contained in detail in Section VI of the EPM and should be consulted there. The following rules restrict themselves to matters pertaining to the preparation of the Abstract/Annotation data in machine-readable form and to the kinds of data that should not be in the Abstract/Annotation.

NOTE: By special arrangement with the National Assessment of Educational Progress (NAEP), standard phrases indicating the category of information contained in the documents are added to the end of the abstracts. For all NAEP-related documents, these standard phrases are supplied to ERIC by NAEP along with the documents. The form of the phrase is as follows: "Primary type of information provided by the report:....."

SUMMARY OF SIGNIFICANT RULES

1. Abstracts for RIE documents are to be of the Informative type, whenever the document type permits, and are limited to approximately 200 words.

2. Annotations for CIJE journal articles are limited to approximately 50 words.

3. Do not use hyphens, dashes, or slashes at the end of a line. The computer system assumes a space is appropriate after every word ending a line.

4. Do not use the underline, superscripts, subscripts, or italics. The underline and italics can be substituted for by quotation marks. Superscripts and subscripts must be changed to linear equivalents, e.g.,

   —10^5 = 10 to the fifth power.
   —L_{10} = L sub ten.

5. Do not put non-abstract data in the Abstract. Specifically, the following kinds of information should be avoided in the Abstract and placed instead in the Descriptive Note field, or other appropriate field:

   —Related document references (use NOTE field). When related documents are cited in the Note field it is not necessary to repeat this information in the Abstract (and vice versa).

   —Marginal legibility notes (use NOTE field).

   —Preparing Institution or Sponsoring Agency information (avoid duplicating information already in the INST or SPON fields)

   —Repetition of the Title (avoid duplicating information already in the TITLE field)

   EXCEPTION: Journal publisher/availability information for the less well known and more difficult to obtain journals that are not listed in the *Source Journal Index*, is placed, when applicable, in the CIJE Annotation.

6. In general, do not use abbreviations (e.g., state names) in the abstract. However, acronyms, once defined at their initial appearance in the record, may later be used by themselves.

7. Use double parentheses when enumerating a list of items, e.g.: (1)———; (2)———; (3)———.

8. When doing a list of chapters or papers in an Indicative abstract, take particular care with author names. Authors do not like to have their names misspelled.

9. At the end of the abstract place the initials of the abstractor in parentheses, e.g., "(JB)". If an author abstract is utilized, place the word "(Author)" in parentheses at the end of the abstract. If an author abstract is utilized in modified form, use a combination of the two elements in the format "(Author/JC)".

10. Punctuation in the Abstract should be done in accordance with the normal rules of English usage. The semicolon does not function in this field as a subfield delimiter.

CLEARINGHOUSE INPUT
(OPTIONAL DATA ELEMENTS/FIELDS)

PERSONAL AUTHOR

V.B.14

PROFILE

Data Element/Field	-	Personal Author
Data Entry Tag	-	AUTH::
Field ID Number (Tape)	-	27
Character Set	-	Alphabetic, Numeric, Special
Mandatory/Optional	-	Optional
Subfields Permitted	-	Yes (Maximum of 2)
Field Length (Experience)	-	4 (Min.); 64 (Max.); 23 (Av.)
Files	-	RIE and CIJE

TYPICAL ENTRY

AUTH::Burns, James F.; Harris, Walter T.

The entry(ies) in this field should be the name(s) of the person(s) who performed the research and/or wrote the report. If the personal author(s) is (are) not clearly identified by a word such as "Author(s)" or "By," the entry should be determined by selecting a name(s) from the cover, title page, or elsewhere in the report, in the following order of precedence:

(1) Unaccompanied by any qualifying words, but by location, may be assumed to be the author(s) of the document.

(2) Identified as the person(s) preparing the document.

(3) Identified as the principal investigator(s).

(4) Identified as compiler(s) or editor(s).

(5) Identified as person(s) submitting the document.

Unless there are other indications that the individual is, in fact, a personal author, omit the author entry if the only person identified is: the project manager; the director or chair of the group doing the work; the school district superintendent; the school principal; the state school superintendent; or the government department head. For example, a superintendent whose name/title automatically appears on the cover or title page of every publication of a school system, should not be interpreted as being the author of every otherwise anonymous such publication. Leave the field blank if no author is identified. Note, however, that documents will usually have either a personal author or a corporate author, or both. Documents without either are extremely rare, especially given the current need to obtain reproduction releases. (For cataloging Corporate Author, see V.B.15.)

Cataloging of Personal Author names is based on the document in hand. The name (unless it is an obvious typographical error) should be entered as it appears on the document. No attempt should be made to make the author's name consistent across a series of documents, if the series does not reflect such consistency. Errors in spelling discovered after a record has been entered in RIE or CIJE will be corrected whenever reported. However, ERIC does not honor requests for name changes resulting from marital, religious, or ethnic status changes or resulting from consolidation of entries under one name, etc., after the entry has appeared in RIE or CIJE.

Determining the proper format of unusual names can usually be determined by consulting author listings in the footnotes or bibliography of a document or by using the latest edition of the *Anglo-American Cataloguing Rules*. If still in doubt, call the author(s).

All entries in the Personal Author field appear in the Author Indexes of RIE or CIJE.

Particular care should be taken before selecting names of personal authors from a list of committee/council/conference members or participants. Frequently the chairperson of a committee is the last person listed or the committee is listed in alphabetical order. In the absence of a designated chairperson who serves as editor, compiler, or senior author, the Clearinghouse cataloger should try to determine the correct person(s) to be listed (by personal contact, if necessary), or leave the field blank.

Senior author (i.e., usually the first author listed) is a delicate matter in academic circles. Requests to alter or rearrange the authorship sequence on a document do occur. It is adviseable that the Clearinghouse make such alterations only after receiving a written request from the author(s) affected.

SUMMARY OF SIGNIFICANT RULES

1. Enter personal author names in full (to the extent available on the document), with the last name first, followed by a comma, space, the first name (or initial), space, and the middle initial (or initials, or name). If only initials are available from the document, use the two initials. DO NOT attempt to research a first name. Legitimate qualifiers that are regarded as part of a personal name, such as "Jr." or "II," should be set off by commas, e.g., Gould, John E., Jr.

2. Omit titles, degrees, and other honorifics. However, in the case of religious order bynames, when that is the only name available, add the vernacular title to the byname, e.g., Mary Jeremy, Sister. Omit parentheses around parts of names, e.g., "Martha (Jackson) Brown." Omit any hyphens between first and middle name initials, e.g., "J.-C.".

3. Omit names of translators.

4. If the "author(s)" are identified as editor(s) or compiler(s), add a comma and the abbreviation(s), "Ed." or "Comp.," as appropriate, after each name. Do not use the plural forms "Eds." or "Comps."

5. DO NOT use brackets to identify supplied information or to set off editor or compiler notations.

6. No more than two author entries are permitted. They should be sequenced as on the document (i.e., not necessarily in alphabetic order). The first and second entries should be separated by a semicolon (;) and a space. If there are more than two (2) authors, the first entry should consist of the principal author, and the second should be "And Others" (note initial capitals).

7. If an individual is identified as "Editor and Compiler" or "Compiler and Editor," use only the first named identification; do not use both.

8. Authors are cataloged by the name appearing on the document, even if there has later been a name change or a reversion to a maiden name.

9. Authors with the same last name must nevertheless be cataloged individually. The form "Jamison, Harry and Anne" is incorrect.

10. If a document is part of a series and has both an individual editor, and a series editor, catalog only the editor for the individual item. (The series editor should be cataloged only if the entire series itself is cataloged.)

11. Position titles, such as "Project Director," should not accompany personal names in the Personal Author field.

12. Virtually every RIE document should have either a Personal Author or an Institution (or both). Some person or organization must be responsible for the document. However, note that CIJE has no Institution field and therefore corporate authorship of journal articles (which is rare) can only be described in the Annotation. Do not enter institution names in the Personal Author field.

13. Never use "Anonymous" in the Personal Author field. If no specific name is given, leave the field blank.

14. If two names are listed on the document for the same individual, i.e., George Thompson a/k/a Mowambe Buto or Marsha Twilly a/k/a Marsha T. Jackson, use only the first-cited name. Do not use both names.

15. If the proper format of an unusual name cannot be determined from the document itself (including footnotes, bibliography, etc.), or from contact with the author, consult the latest edition of the *Anglo-American Cataloguing Rules*.

EXAMPLES

SINGLE AUTHOR (VARIABLE FIRST/MIDDLE NAMES)

AUTH::Brown, J.
Brown, J. T.
Brown, John
Brown, John T.
Brown, John T. C.
Brown, C. John
Brown, Charles Edward

TWO (2) AUTHORS

AUTH::Brown, John T.; Jones, Mary A.

THREE (3) OR MORE AUTHORS

AUTH::Brown, John T.; And Others

Incorrect are: And others
and Others
and others
And Others. (Note: Do not use the period.)

EDITORS AND COMPILERS

AUTH::Jones, Mary A., Ed.
AUTH::Brown, John T., Jr., Ed.
AUTH::Jones, Mary A., Ed.; Smith, Jane N., Ed.
AUTH::Jones, Mary A; Smith, Jane H., Ed.
AUTH::Jones, Mary A., Comp.
AUTH::Smith, Jane N., Comp.; Jones, Mary A., Comp.
AUTH::Smith, Jane N., Ed.; Jones, Mary A., Comp.

JUNIOR/SENIOR

AUTH::Brown, John T., Jr.
AUTH::Brown, John T., Sr.

II, III, etc.

AUTH::Brown, John T., III

NAME VARIATIONS*

Ali, Muhammad
Burne-Jones, William
Ching, Francis K. W.
D'Amico, Robert G.
DeAnda, Natividad
deJung, John
de la Rosa, Raul
De Weaver, Norman
de Wolf, Virginia
DiBasio, Anthony J.
Goethe, Johann Wolfgang von
Johnson Smith, Geoffrey
La Bruyere, Rene
La Fontaine, Jean de
Lopes da Silva, Gabriela
MacIntyre, Edward Leon
McDonald, John D.
Monteith, Mary K (middle initial does not stand for anything)
Musset, Alfred de
O'Brien, John P., III
St. Lawrence, Christine Lisa
Stands in Timber, John
Sun, Yat-sen
Tak, Jan van der
Van Buren, Martin

*For unusual personal names, the correct form of which cannot be determined from the document, consult the latest edition of the *Anglo-American Cataloguing Rules* (section on "Headings for Persons").

INSTITUTION

V.B.15

PROFILE

Data Element/Field	- Institution
Data Entry Tag	- INST::
Field ID Number (Tape)	- Code: 28 Name: 128
Character Set	- Code: Alphabetic, Numeric Name: Alphabetic, Numeric. Special
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- Yes
Field Length (Experience)	- Code is fixed length at 8 characters Code - 8 (Min.); 58 (Max.); 9 (Av.) Name - 5 (Min.); 391 (Max.); 62 (Av.)
Files	- RIE only

TYPICAL ENTRY (RIE Only)

```
INST::BBB54321=General Manufacturing Co., Middletown, NY.
      Research and Development Div.
```

The Institution field contains the name of the organization responsible for preparing the document. In library parlance this organization is referred to commonly as the "Corporate Author" or "Corporate Source." Governments and their agencies, societies, associations, institutions, institutes, universities, colleges, companies, commissions, committees, foundations, etc., are all responsible at one time or another for the production or issuance of documents, and the names of these organizations will be entered in this field when their documents are cataloged.

Entry in this field indicates responsibility for the intellectual creation of the document. It is not to be confused with the address of the Personal Author, i.e., the Personal Author's corporate affiliation is not necessarily equivalent to the Corporate Author. ERIC does not at the present time catalog corporate affiliations per se. This issue arises most frequently in the case of personal speeches or conference presentations. No institutional source should, for example, be cataloged for a conference paper written by John Doe of the University of Texas when there is no indication that the release of the paper was formally controlled or supported by the University. Similarly, a

Doctoral dissertation or Master's thesis should not be cataloged with the recipient institution as the institutional source. Likewise, commercial publishing companies, college/university presses, the GPO, etc., are not shown as institutional sources when acting merely as publishing agents for works that have normal personal or corporate authors. In such cases, the publisher's name, address, and price are appropriately cataloged in the Availability field (see V.B.21). A commercial publisher can, however, be a corporate author when they are responsible for the actual preparation of a work, e.g., Marquis, Inc., is the corporate author of the reference work *Who's Who in the East*.

Corporate Authors should also not be confused with Sponsoring Agencies. Sponsoring Agencies provide the funding and financial support for efforts that lead to documents. This is usually done via contracts or grants to the Corporate Author. Sponsoring Agencies are generally Government agencies and their names are entered in their own field (see V.B.16).

Neither Corporate Authors nor Sponsoring Agencies are mandatory data elements. A document may be simply the product of an individual operating alone, in which case the INST and SPON fields would both be left blank. However, there are certain clues and interrelationships of which the cataloger should be aware:

- Contract Numbers and Grant Numbers, when present, imply both funding Sponsors and preparing Institutions.

- A Sponsoring Agency implies a recipient of funding and therefore a "doer" (usually an organization, but sometimes an individual).

Organizational names should be established at a level sufficient to trace the document back to its source. Large organizations, e.g., universities, federal agencies, state departments of education, national corporations, etc., must generally cite a relevant subdivision in order to accomplish this. When dealing with organizations of modest size (e.g., small businesses in one city, small school systems, junior/community colleges), however, it is generally not necessary to establish subdivisions.

CIJE does not currently have an Institution field. In those instances where an organization appears as an "author," e.g., "Guidelines for English Teachers," prepared by the National Council of Teachers of English, the cataloger has two alternatives:

- Omit the information altogether.

- Include the information in statements made in the Annotation.

In any case, organization name information should <u>not</u> be included in the Personal Author field.

ERIC Source Directory

The *ERIC Source Directory* is an authority list of organization names to be used in both the Institution and Sponsoring Agency fields.

In order to ensure that the same organization is always cited in the same fashion and to permit ready assembly of consistent printed indexes, all organization names used in the ERIC system are carefully constructed in accordance with Section 2: "Corporate Author" of the *Guidelines for Descriptive Cataloging of Reports. A Revision of COSATI Standard for Descriptive Cataloging of Government Scientific and Technical Reports* (See Attachment 1), and are assigned a unique alphanumeric code. Thereafter, the organization name is entered into the system by specifying the appropriate code. During computer entry of the data, the system extracts the name from the *ERIC Source Directory* on the basis of the code and adds it to the proper record in its standardized form.

All standardized forms are based on the pattern: Largest element—geographic location (City, State, or Country)—smallest element, e.g., "General Electric Co., Huntsville, AL. Computer Dept."

Copies of the *ERIC Source Directory* (showing both names and codes) are distributed to the ERIC Clearinghouses periodically in accordance with annual master schedules. Supplements, listing newly established names and codes, are distributed monthly.

When a Corporate Author is identified for a document, the name of the organization should be looked up in the *ERIC Source Directory*. If it does not appear in the form shown on the document, alternative arrangements of the name should be checked, since the entry on the document may not conform to the standardized name form. The monthly supplements should also be checked for recent entries. Duplicate names, or close variants, should be called to the attention of the ERIC Facility for possible correction. Cataloging should then proceed in accordance with one of the following paragraphs:

Name Found in *ERIC Source Directory*

One Name: INST::RUF13615=Central State Univ., Wilberforce, Ohio.

Multiple Names: INST::RUF13615=Central State Univ., Wilberforce, Ohio.; BBB16014=NTS Research Corp., Durham, N.C.

NOTE: The data appearing to the right of the code (i.e., "equal" sign, followed by organization name) does not determine what goes into the record, but the cataloger's intended organization name must be on the input form both to permit the ERIC Facility editors to easily check the accuracy of the cataloging and to guard against the possibility of transposed characters in the code. For this reason, the name the cataloger places to the right of the code may be abbreviated and need not agree perfectly with its equivalent in the authority list.

Organization name cataloging normally reflects what is on the document. If existing names do not fit the situation, they should not be used. For example, assume the *Source Directory* contains the name "American Association of Junior Colleges" and assume a document comes in bearing the new name of this organization "American Association of Community and Junior Colleges." The cataloger may not use the old name but must request that a new name be established. Name changes, including changes in geographic location, should generally be treated as new names.

New names requested in connection with Level 3 documents (where the ERIC Facility has no document) should be supported by copies of the sheets confirming name, location, etc.

New Name (Not Found in *ERIC Source Directory*)

If the organization name cannot be located in the *ERIC Source Directory*, the desired name should be entered as follows:

One Name: INST::=Columbus Citizens Advisory Council, OH.

Multiple Names: INST::=Oberlin Coll., OH.; =Saint Mary's Hospital, Grand Rapids, MI.

If only one organization out of a group cannot be found in the *ERIC Source Directory*, make the entries as follows:

INST::BBB15372=Texas Univ., Austin. Research Inst.;
=Toyota Foundation, Tokyo (Japan).

This format serves as a signal to alert the ERIC Facility to the requirement for a new name/code. If, after review, the new name is found to be justified, it will be added to the *ERIC Source Directory* at the next monthly update.

All new organization names should generally conform to Section 2, "Corporate Author," of the revised COSATI standard referenced to above (see Attachment 1).

When requesting that new institutional names be established, the Clearinghouses should provide complete location information (if not apparent on the document).

SUMMARY OF SIGNIFICANT RULES

1. The Institution data element identifies the organization having responsibility for the intellectual creation of the document. Multiple responsible institutions may be cited, each in its own subfield.

2. All Institution names used must agree with the standard established name forms cited in the *ERIC Source Directory*. Existing names are entered by means of codes that represent the name in the *ERIC Source Directory*. If the name is new and not previously established, it should be formatted generally in accordance with *Guidelines for Descriptive Cataloging of Reports. Section 2. Corporate Author.* (See Attachment 1.) All standardized names are based on the pattern: largest element——geographic location——smallest element.

3. Responsible institutions should not be confused with the corporate affiliation of the Personal Author or with the Sponsoring Agency. Corporate affiliation is not cataloged per se.

4. Beginning with the July 1982 issue of RIE, new institutional names began to use the two-character postal codes for states. (Before that time, names were established using the older, longer abbreviations).

5. When dealing with organizations of modest size, it is generally not necessary to establish subdivisions.

6. When requesting that new institutional names be established, the Clearinghouses should provide complete location information (if not apparent on the document).

7. Approved abbreviations for institutional names are listed in Attachment 1 (item 2.4.n). First words of Institution names, however, may never be abbreviated.

8. Entries in the Contract/Grant Number fields or in the Sponsoring Agency field imply the existence of a performing institution. The Institution field should, therefore, generally be cataloged when data are present in these fields.

EXAMPLES

ONE INSTITUTION (LISTED IN *SOURCE DIRECTORY*)	INST::RUF13615=Central State Univ., Wilberforce, Ohio.
ONE INSTITUTION (NEW, NOT LISTED IN *SOURCE DIRECTORY*)	INST::=Columbus Citizens Advisory Council, OH.
TWO INSTITUTIONS (BOTH LISTED IN *SOURCE DIRECTORY*)	INST::RUF13615=Central State Univ., Wilberforce, Ohio.; BBB16014=NTS Research Corp., Durham, N.C.
TWO INSTITUTIONS (BOTH NEW)	INST::=Oberlin Coll., OH.; =Saint Mary's Hospital, Grand Rapids, MI.
TWO INSTITUTIONS (ONE LISTED IN *SOURCE DIRECTORY*; ONE NEW)	INST::BBB15372=Texas Univ., Austin. Research Inst.; =Toyota Foundation, Tokyo (Japan).

Editor's Note:

Previous editions of the COSATI standard cited older and longer forms of state name abbreviations and these were followed by ERIC for many years and are reflected in the ERIC Source Directory. Beginning with the July 1982 issue of RIE, ERIC shifted to the now standard two-character postal abbreviations, and all organization names established after that date use the new abbreviations. It is hoped that future editorial projects will make possible the conversion of all the old abbreviations to the new forms.

SPONSORING AGENCY

V.B.16

PROFILE

Data Element/Field	- Sponsoring Agency
Data Entry Tag	- SPON::
Field ID Number (Tape)	- Code: 32 Name: 132
Character Set	- Code: Alphabetic, Numeric Name: Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- Yes
Field Length (Experience)	- Code is fixed length at 8 characters Code - 8 (Min.); 58 (Max.); 9 (Av.) Name - 5 (Min.); 378 (Max.); 68 (Av.)
Files	- RIE only

TYPICAL ENTRY (RIE Only)

```
SPON::BBB98765=National Research Agency, Washington, DC.
               Biological Programs Div.
```

A Sponsoring Agency is defined as an organization (e.g., government agency, private foundation, etc.), other than the Corporate Author, that supported the work (or the production of the document) by providing funds via contract or grant. Names entered in this field must either come from the *ERIC Source Directory*, or, if new, must be constructed according to the COSATI standard appearing as Attachment 1. The instructions and examples for entering organization names that appear in V.B.15, dealing with the Institution data element, also apply to the entry of Sponsoring Agencies.

All documents bearing a contract or grant number should generally have a corresponding entry in the Sponsoring Agency field. Particular care should be taken, however, to ensure that all reports resulting from contracts or grants funded by the Department of Education (ED), or one of its subunits (e.g., National Inst. of Education), have an entry in this field.

HISTORICAL NOTE: The National Institute of Education (NIE) became part of the Department of Education (ED) at the inauguration of that Department in May 1980. Before that time, NIE was part of the Department of Health, Education, and Welfare (DHEW). NIE documents not bearing a Departmental designation by name or contract number should be assigned to DHEW or ED name forms based on the May 1980 date. The same argument holds for all such problems created by governmental reorganizations.

SUMMARY OF SIGNIFICANT RULES

1. The Sponsoring Agency data element identifies the organization(s) that has funded the effort reported in the document. Multiple sponsors may be cited, each in its own subfield.

2. All organizations cited as funding sources should be cataloged in the Sponsoring Agency field. However, if there is a principal funding source and many secondary funding sources, the catalogers, at their discretion, may choose to catalog only the principal sponsor. Sponsors whose help is only "collaborative," "coordinative," "supportive," (i.e., only nominal) need not be cataloged.

3. All Sponsoring Agency names used must agree with the standard established name forms cited in the *ERIC Source Directory*. Existing names are entered by means of codes that represent the names in the *ERIC Source Directory*. If the name is new and not previously established, it should be formatted generally in accordance with *Guidelines for Descriptive Cataloging of Reports, Section 2: Corporate Author*. (See Attachment 1.) All standardized names are based on the pattern: largest element——geographic location——smallest element.

4. Sponsoring Agencies should not be confused with preparing institutions (See V.B.15) or Personal Author's corporate affiliation (not cataloged per se).

5. Entries in the Contract/Grant Number fields generally require a corresponding entry in the Sponsoring Agency field. Particular care should be taken to ensure that all reports resulting from Department of Education funding have an entry in this field.

6. Beginning with the July 1982 issue of RIE, new institutional names established began to use the two-character postal codes for states. (Before that time, names were established using the older, longer abbreviations.)

7. Organizations that perform the functions of both Sponsor and preparing Institution are listed only once, under Institution. Do not list the same organization in both the Institution and Sponsoring Agency fields.

8. All Research and Development Utilization (RDU) materials should cite NIE as the Sponsoring Agency.

EXAMPLES

See the examples provided under the Institution data element (V.B.15).

REPORT NUMBER

V.B.17

PROFILE

Data Element/Field	- Report Number
Data Entry Tag	- REPNO::
Field ID Number (Tape)	- 45
Character Set	- Alphabetic, Numeric, Special (Hyphen, Slash, Parentheses)
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- Yes
Field Length (Experience)	- 12 (Av.)
Files	- RIE only

TYPICAL ENTRY (RIE Only)

REPNO::ASD-TR-63-24

Report Numbers are the unique alphanumeric designations assigned to the documents by the preparing organizations, sponsoring agencies, or major report processing centers. Though most documents will have only one report number (if any at all), report numbers of all three types of organizations mentioned above may, in some cases, appear on the same document and should be recorded.

Report Numbers can be troublesome to catalog because they appear on documents in so many variant formats. The *Dictionary of Report Series Codes** can be helpful in determining standardized formats for given series. Also of use is the ERIC *Report Number Index*, a cumulative record of all Report Numbers used to date in the ERIC data base.

Cataloging Report Numbers

- Hyphens for Spaces

  Many Report Numbers appear on the report in an easily indexable form, consisting of letters, representing the originating or monitoring agency, followed by a unique number. The only editing required for such a number is to insert a hyphen wherever a space appears, in order to assure uniformity in machine sorting. For example:

  ASD-TDR-63-24 CCHE-1019 AGDEX-900-014 UCRL-1035

*Available from: Special Libraries Association (SLA), 235 Park Avenue South, New York, NY 10003.

Other Report Numbers consist of a combination of letters and numbers, but the letters do not represent the originating or monitoring agency. Enter such numbers as they are given on the report, inserting a hyphen wherever a space appears, but otherwise retaining the punctuation. For example:

R64D61 RR-17 RM-4244

Note, however, that no final punctuation is used with Report Number prefixes (i.e., ASD, not A.S.D.) nor at the end of the number.

- Descriptive Words Within the Number

Many Report Numbers include descriptive words within the number; these words may either be ignored or abbreviated. The words are ignored when the numbers form one distinct series from the given organization regardless of the descriptive words; they are abbreviated when there are two or more series of documents from the same organization, each associated with a specific group of words.

Example: DHEW Publication No. ADM-78-485

Incorrect: DHEW Publication ADM-78-485
Correct: DHEW-ADM-78-485

Example: NASA Technical Memorandum 455
NASA Technical Report 170

Correct: NASA-TM-455
NASA-TR-170

- Non-Distinctive Report Numbers

If a Report Number has a distinctive alphabetic prefix, it should be cataloged solely in the Report Number field and should not appear in the Title field. If no distinctive prefix can be ascertained, a Report Number may be included as an element of the title/subtitle. A good example of this type might be a subtitle such as "Interim Report No. 2," serving to distinguish between the other interim reports (or Final Report) probably otherwise bearing the same substantive title.

- Abbreviations

Certain standard words frequently used to refer to reports and documents and often found in spelled-out form may be routinely abbreviated. A list of some of the more common abbreviations appears in Figure V-14. Longer lists may be found in the reference cited at the beginning of this section.

Accession List	= AL	Number	= No
Addendum	= Add	Pamphlet	= Pam
Amendment	= Amend	Part	= Pt
Annual Report	= AR	Progress Report	= PR
Appendix	= App	Project	= P
Bibliography	= Bib	Public Law	= PL
Book	= Bk	Publication	= Pub
Bulletin	= Bull	Research Memorandum	= RM
Catalog	= C	Research Note	= RN
Chapter	= Ch	Research Paper	= RP
Circular	= Circ	Revised, Revision	= Rev
Conference	= Conf	Section	= Sect
Conference Paper	= CP	Series	= Ser
Contractor Report	= CR	Special Report	= SR
Contribution	= Contrib	Specification	= Spec
Document	= Doc	Summary	= Summ
Edition	= Ed	Supplement	= Suppl
Evaluation Report	= ER	Technical Memorandum	= TM
Final Report	= FR	Technical Note	= TN
Informal Communication	= IC	Technical Publication	= TP
Internal Memorandum	= IM	Technical Report	= TR
Leaflet	= L	Technical Translation	= TT
Laboratory Note	= LN	Translation	= Trans
Memorandum	= M	Volume	= Vol
Memorandum Report	= MR	Working Paper	= WP
Miscellaneous Paper	= MP		

FIGURE V-14: ABBREVIATIONS COMMONLY USED IN REPORT NUMBERS

Note that the word "report," when appearing alone on a document, may generally safely be ignored, and replaced by a hyphen.

Example: Naval Air Training Command Report 5914

Incorrect: NATC-R-5914
Correct: NATC-5914

However, if the preparing organization is large and has many report series, then it is best to abbreviate "report" to "R." If the standard abbreviation for "report" (i.e., "R") actually appears on the document, then it should always be retained and used in the Report Number.

Roman numerals in report number abbreviations should be changed to the Arabic form, for filing purposes. For example:

Incorrect: RDR-65-6-XII
Correct: RDR-65-6-12

If a single Report Number is issued in several parts, this information is added to the Report Number in abbreviated form, using hyphens, not commas or parentheses, for separation. For example:

ARC-11767-Vol-2

- Forming Valid Report Number Prefixes

Some reports are published in a definite numbered series, with a standard phrase always describing the series, but lacking, on occasion, any initials or acronym. In such instances, the phrase may be abbreviated if it can be established that:

(1) the prefix is used at times by the organization in question, or that

(2) the prefix has become commonly associated with the organization.

In other words, there should be some precedent in usage, either in previous documents of the same organization or in reference works such as that cited at the beginning of this section. Avoid creating complicated Report Number prefixes that have never at any time actually appeared on documents. Such creations can be bibliographic "red herrings," sometimes misleading and troublesome to librarians and other users.

Example: Visual Training Laboratory Report No. 65

Correct: VTL-65

- Multiple Report Numbers

If there is more than one Report Number for a document, the additional numbers should be entered following the first number, but separated by a semicolon and a space.

REPNO::ETS-RB-78-12; ETS-RB-78-14

Report Numbers in sequential series on one accession should be individually entered, as follows:

REPNO::S-493; S-494; S-495

Do not elide them in the following format, as this will prevent their individual appearance in the *Report Number Index* and in computer retrieval files.

Incorrect: REPNO::S-493—495
REPNO::S-493 thru 495

- Report Numbers Assigned by Major Report Processing Centers

Major information and document processing centers sometimes assign accession numbers that are later so useful in identifying, requesting, and utilizing documents that they are best treated as Report Numbers and captured at cataloging time. On occasion, through arrangement with the source, these numbers may actually be printed on the document at the time of original issuance. Even when this is not done, most of the copies of such documents in circulation will be those reproduced by the major information centers and therefore bearing the well-known accession numbers. Examples of major accession numbers that should be treated as Report Numbers are as follows:

Defense Technical Information Center (DTIC)	AD-
National Technical Information Service (NTIS)	PB-
NASA Scientific and Technical Information Facility	N82-

The ERIC ED and EJ Accession Numbers also belong to this category and are often cited as, in effect, Report Numbers, by later handlers and processors.

- Congressional Documents

The principal type of Congressional documents acquired by ERIC are Hearings and Committee Prints, and these do not have Report Numbers. However, occasionally ERIC processes formal House and Senate Reports and Documents. Since these four series bear within their structure the identification of the particular Congress involved (e.g. 92nd, 95th, etc.) it is only necessary when recording the number to distinguish Reports from Documents.

House Reports	House-R-92-898
House Documents	House-Doc-96-167
Senate Reports	Senate-R-91-480
Senate Documents	Senate-Doc-94-258

House or Senate Bills are processed only rarely, but since their numbering scheme begins anew with each Congress, it is necessary to qualify them with the identification of the Congress if they are to be unique.

House Bills	HR-11267(92)
Senate Bills	S-2951(72)

- Miscellaneous

Public Laws are documents and can be entered into the system. The Public Law number should be treated as an identifying Report Number and should be entered as follows:

REPNO::PL-92-415

International Standard Book Numbers (ISBN) are unique numbers assigned by the publishing industry to the products they sell. They appear in catalogs and are frequently used as order numbers. They should be treated as identifying Report Numbers and should be entered as follows:

REPNO::ISBN-0-8352-1173-8

Sometimes a work will cite multiple ISBN's for its different editions and forms. Only the ISBN for the work in hand should be cited.

International Standard Serial Numbers (ISSN) are assigned to journals, periodicals, and all types of serial publications. All the issues of a given serial bear the same ISSN number and therefore it does not provide a unique identification for the piece (issue) in hand. For this reason, ISSN numbers should <u>not</u> be picked up as Report Numbers for individual articles or journal issues, but should be picked up if the entire journal as a whole is being cataloged.

The ISSN for RIE is: 0098-0897
The ISSN for CIJE is: 0011-3565

These are generally recorded on the journals themselves without the hyphen after the ISSN prefix (e.g. ISSN 0098-0897), but this convention should not be followed when treating them as Report Numbers in citations, in which case they would appear as "ISSN-0098-0897" and "ISSN-0011-3564".

SUMMARY OF SIGNIFICANT RULES

1. All unique identifying Report Numbers on the document should be cataloged, whether placed there by the preparer, sponsor, or processor.

2. Alphabetic prefixes (many of which will be based on the initials of the preparing organizations), should always be sought for Report Numbers in order to distinguish one number from another. Arabic numbers alone are not useful in indexes or for searching.

3. Commonly-appearing words in Report Numbers should be abbreviated, e.g., Technical Report = TR; Research Paper = RP. Lists of such words and their abbreviations are provided for guidance (See Figure V-14).

4. Roman Numerals appearing in Report Numbers should be converted to Arabic numerals, for filing purposes.

5. Multiple Report Numbers must be entered individually, each in its own subfield, to ensure retrievability of each number.

6. Treat International Standard Book Numbers (ISBN's) like any other identifying number and record them in the Report Number field (for retrieval purposes).

7. International Standard Serial Numbers (ISSN's) are assigned to serial publications and are repeated on all issues. They are, therefore, not unique identifying numbers and should not be cataloged as Report Numbers (unless an entire journal, as a whole, is being cataloged).

8. Blank spaces are not permitted in Report Numbers. Report Numbers should be "standardized" by replacing all spaces with hyphens.

EXAMPLES

PREPARING INSTITUTION NUMBER	Johns Hopkins Univ., Applied Physics Lab.	JHU-APL-
SPONSORING AGENCY NUMBER	Air Force Office of Scientific Research	AFOSR-
REPORT PROCESSING CENTER NUMBER	National Technical Information Service	PB-
	Defense Technical Information Center	AD-
	NASA Scientific and Technical Information Facility	N82-
INTERNATIONAL STANDARD BOOK NUMBER		ISBN-
PUBLIC LAW		PL-95-264
CONGRESSIONAL DOCUMENTS		House-R-99-898 House-Doc-96-167 Senate-R-91-480 Senate-Doc-94-258
USE OF YEAR		
IN NUMBER	Rand Corp. Annual Report	Rand-AR-(Year)
IN PREFIX	NASA Scientific and Technical Information Facility	N82-
ROMAN NUMERALS (CONVERTED)	INCORRECT:RDR-65-6-XII CORRECT:	RDR-65-6-12
MIX OF UPPER AND LOWER CASE	Human Resources Research Organization	HumRRO-PP-10-78
VOLUMES, PARTS, ETC.		ARC-11767-Vol-2
USE OF SLASHES		
IN PREFIX	Coast and Geodetic Survey	C/GS-
IN NUMBER	—	TT-76-53000/3

CONTRACT NUMBER

V.B.18

PROFILE

Data Element/Field	- Contract Number
Data Entry Tag	- CONT::
Field ID Number (Tape)	- 46
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- Yes
Field Length (Experience)	- 3 (Min.); 70 (Max.); 14 (Av.)
Files	- RIE only

TYPICAL ENTRY (RIE Only)

CONT::NE-C-00-3-0051

The Contract Number is the alphanumeric identifier assigned by the sponsoring agency to designate the financial support given the work or research reported in the document. If the Contract Number does not appear in the document, it may be supplied by the cataloger, if the information is readily available from another reliable source. However, research by the cataloger for this purpose is optional.

All Contract Numbers that appear on documents accessioned for input to RIE are to be cited in the Contract Number field*. Most Contract Numbers will have alphabetic prefixes serving to identify the sponsoring agency; these should be captured whenever available as they serve both to identify the Contract Number as to its source and to group together in printed indexes the various Contract Numbers of the same agency.

However, since some U.S. Government agencies have contract numbering systems that do not involve alpha prefixes, it is necessary to permit also the capture of Contract Numbers that are purely numeric. The general rule is to capture the Contract Number as it appears on the document.

If an identifying number on a document cannot reasonably be determined to be a Contract Number, it should not be cataloged as such.

Do not use the word "Contract." This call-out will be inserted in the RIE announcement by the computer system.

*Through June 1976 (ED-118 719), the Contract Number field was restricted to OE and NIE contracts only.

Patterns in Government Contract Numbers

There are various patterns in Government Contract Numbers that if known can help simplify the job of cataloging them.

Contract Numbers from the old Office of Education (OE) either have the prefix OEC- or begin with a number between 300-399. Typical entries are:

CONT::OEC-4-6-060723
CONT::300-78-0211

Contract Numbers from the National Institute of Education (NIE) have either the prefixes NE-C- or NIE-C-, or begin with a number between 400-499. Typical entries are:

CONT::NE-C-00-3-0051
CONT::NIE-C-74-0015
CONT::400-75-0025

Examples of some non-NIE Contract Numbers, showing identifying prefixes, are as follows:

CONT::LEAA-J-IAA-030-6
CONT::DOT-HS-6-01336
CONT::NSF-C-1052

However, Government agencies do not remain static. They come and go with reorganizations. Similarly, the contract numbering systems of these agencies have limited lifetimes. It is not the cataloger's function to keep abreast of these systems, but rather to simply record the resultant numbers as they appear on documents.

SUMMARY OF SIGNIFICANT RULES

1. Catalog any and all Contract Numbers appearing on the document.

2. Multiple Contract Numbers must be separated by a semicolon and a space.

3. Alphabetic prefixes identifying the sponsoring agency are desirable and should be cataloged when available. To determine the validity of certain possible prefixes it is helpful to consult the prior usage recorded in the ERIC *Contract Number Index*.

4. Do not confuse Grant Numbers, Project Numbers, and Report Numbers with Contract Numbers.

5. Contract Numbers may occasionally appear on certain kinds of documents (e.g., speeches, conference papers) for which no preparing institution or sponsoring agency is given. This fact should not prevent the cataloger from capturing the valid Contract Number information that is available. However, under normal circumstances a Contract Number implies both a preparing institution and a sponsor, and the cataloger should make an effort to identify both.

6. The parts of a Contract Number should be separated from each other by hyphens (unless the Contract Number specifically uses another special character, such as a slash). Blank spaces in a Contract Number should be replaced by hyphens.

7. Generalized statements of financial support or sponsorship should not be entered in the Contract Number field, but rather described in the NOTE field if felt by the cataloger to be significant, e.g., "NOTE::Sponsored by the civil rights offices of five western states."

8. NIE contracts in the 400 series do not carry a prefix and should be recorded in the form "400-76-0116" regardless of how they appear on the document. In the case of other federal agencies where ERIC catalogers do not have the benefit of special knowledge, it is best to simply follow the form cited on the document.

EXAMPLES

SINGLE CONTRACT NUMBER	CONT::N00014-79-C-0323
MULTIPLE CONTRACT NUMBERS	CONT::NE-C-00-3-0051; NE-C-00-3-0052
CONTRACT NUMBER WITH ALPHA PREFIX	CONT::DOT-HS-6-01336 CONT::HEW-105-78-1300 CONT::HRA-231-76-0032
CONTRACT NUMBER WITHOUT ALPHA PREFIX	CONT::400-79-0060

GRANT NUMBER

V.B.19

PROFILE

Data Element/Field	- Grant Number
Data Entry Tag	- GR::
Field ID Number (Tape)	- 47
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- Yes
Field Length (Experience)	- 3 (Min.); 85 (Max.); 16 (Av.)
Files	- RIE only

TYPICAL ENTRY (RIE Only)

GR::NE-G-00-3-0006

Grant Numbers are similar to Contract Numbers in function and purpose. They are alphanumeric tags representing instruments through which financial support was given the work or research reported in documents. (The distinction is that the scope of work of a grant is broader and more general and usually does not contain lists of specific tasks and deliverables. A contract, on the other hand, usually carefully specifies certain tasks or contract-deliverable items, and the contracting agency monitors the effort and follows up to see that all contractual obligations are met).

If the Grant Number does not appear on the document, it may be supplied by the cataloger, if the information is readily available from another reliable source. However, research by the cataloger for this purpose is optional. Grant Numbers imply a sponsoring agency. If a Grant Number appears on a document, the cataloger should make an effort to find the sponsoring agency to which the grant number applies.

All Grant Numbers that appear on documents accessioned for input to RIE are to be cited in the Grant Number field.* Most Grant Numbers will have alphabetic prefixes serving to identify the Grant Number as to its source and to group together in printed indexes the various Grant Numbers of the same agency. However, since some agencies may have or may develop grant numbering systems that do not involve alpha prefixes, it is necessary to permit also the capture of Grant Numbers that are purely numeric. The general rule is to capture the Grant Number as it appears on the document.

*Through June 1976 (ED-118 719), the Grant Number field was restricted to OE and NIE grants only.

If an identifying number on a document cannot reasonably be determined to be a Grant Number, it should not be cataloged as such.

Do not use the word "Grant." This call-out will be inserted in the RIE announcement by the computer system.

Patterns in Government Grant Numbers

There are various patterns in Government Grant Numbers that if known can help simplify the job of cataloging them.

Grant Numbers from the old Office of Education (OE) have either the prefix OEG- or G. Typical entries look as follows:

GR::OEG-4-6-000516
GR::G007703050

Grant Numbers from the National Institute of Education (NIE) have as a prefix NE-G-, NIE-G-, or OB-NIE-G-, as follows:

GR::NE-G-00-3-0006
GR::NIE-G-74-0025
GR::OB-NIE-G-78-0203

Examples of some non-NIE Grant Numbers, showing identifying prefixes, are as follows:

GR::PHS-G-HE-09564
GR::CLR-645
GR::SIS-75-16262

However, Government agencies do not remain static. They come and go with reorganizations. Similarly, the grant numbering systems of these agencies have limited lifetimes. It is not the cataloger's function to keep abreast of these systems, but rather to simply record the resultant numbers as they appear on documents.

SUMMARY OF SIGNIFICANT RULES

The rules for cataloging Grant Numbers are essentially the same as those for cataloging Contract Numbers (V.B.18).

EXAMPLES

SINGLE GRANT NUMBER: GR::NSF-G-18690

MULTIPLE GRANT NUMBERS: GR::NIMH-G-24859; PHS-G-HD-04038

DESCRIPTIVE NOTE

V.B.20

PROFILE

Data Element/Field	- Descriptive Note
Data Entry Tag	- NOTE::
Field ID Number (Tape)	- 38
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- No
Field Length (Experience)	- 47 (Av.)
Files	- RIE Only

TYPICAL ENTRY (RIE Only)

NOTE::Paper presented at the National Conference for Associate Degree Programs in Nursing (3rd, St. Louis, MO, March 4-5, 1966).

The Descriptive Note field is a catch-all field intended to contain cataloger's notes that extend the description of the document and communicate miscellaneous essential information to the user. If a cataloger wishes to communicate any information not provided for by the other fields, it is entered in this field.

While Notes are wide-ranging in what they may deal with, there are nevertheless certain recurring types that can be exemplified here:

- Papers presented at..., Speeches, Reprints, etc. (the circumstances under which the document was prepared or presented)
- Dissertations, Theses, Practicum Papers
- Related Documents (Including Analytic "Parents")
- Legibility Problems
- Copyrighted Segments of Documents
- Size of Bibliography
- Translated by...
- "In" notes, for papers extracted from collections and entered into the system individually.

DESCRIPTIVE NOTE

Punctuation in this field should be done in accordance with the normal rules of English usage, e.g., independent thoughts should be separated with a period; closely related thoughts may be separated by a semicolon. In this field the semicolon does not function as a subfield delimiter and may be used as a normal element of punctuation.

Papers presented at..., Speeches, Reprints

NOTE::Paper presented at the National Conference for Associate Degree Programs in Nursing (3rd, St. Louis, MO, March 4-5, 1966).

NOTE::Speech given before the National Conference on Higher Education (22nd, Chicago, IL, March 7, 1967).

NOTE::Reprint from Proceedings of the Annual Conference of the American Sociological Association (Toronto, Ontario, Canada, August 24-28, 1981).

NOTE::Paper presented at the combined Annual Meeting of the Midwest Popular Culture Association and the Midwest American Culture Association (Kalamazoo, MI, October 23-25, 1980).

NOTE::Paper presented at the Meetings of the International Communications Association Telecommunications Conference '81 (Washington, DC, June 1, 1981) and the Oregon Association of Broadcasters (Newport, OR, June 12, 1981).

Conference number, place, and date should always be placed in parentheses, in the standardized format shown, after the conference name. Domestic meeting locations should be cited using the standard two-character postal codes for states. Foreign meeting locations should always cite the country and city.

Dissertations, Theses, Practicum Papers

NOTE::Ph.D. Dissertation, University of Connecticut.

NOTE::Ed.D. Dissertation, Temple University.

NOTE::Doctoral Dissertation, University of Maryland.

NOTE::Ed.D. Practicum, Nova University.

NOTE::Master's Thesis, Yale University.

NOTE::M.L.S. Thesis, Drexel University.

NOTE::M.S. Thesis, Stanford University.

NOTE::Requirements for..., Oregon State University.

All such notes should be expressed as briefly as possible.

Related Documents (Including Analytic "Parents")

If it is desirable for any reason to refer to other documents related to the one in hand, the reference should be entered in the Descriptive Note field, as follows:

NOTE::For related documents, see TM 002 488-489.

Related documents may be other volumes in a multiple volume set, other volumes in the same series, other volumes on the same project, appendices to a given report, other papers emanating from the same conference, etc. References to related documents should be made judiciously and should not attempt to cover an excessive number of documents.

Whenever possible, the ED number of the related document should be cited rather than the Clearinghouse Accession Number. However, when the items are all in the same issue of RIE, the ED number is not known at the time the description is being prepared and therefore the Clearinghouse Accession Number must be used. It is acceptable to cite a mix of Clearinghouse Accession Numbers and ED Accession Numbers, citing earlier items first. Do not cite a number to be included in a future issue of RIE since if the announcement did not materialize the reference would be "blind."

NOTE::For related document, see ED 123 456.

NOTE::For related document, see ED 142 376 and CE 001 406-409.

A major use of this type of note is with respect to Analytics (i.e., documents that have been treated both as a whole and as a group of individual parts each entered into the system separately). The "Parent" document should always carry a Descriptive Note referring to the analyzed parts. If the analyzed parts are also available separately, the note referring from part to "Parent" should also be in this field. However, it is most common that the parts are not available separately and in these cases the note from part to "Parent" is placed in the Availability field (because it relates to the availability of the part).

Parent to Parts	NOTE::For related documents, see TM 123 455-460.
Part to Parent (Part available separately)	NOTE::For related document, see TM 123 454.
Part to Parent (Part not available separately)	AVAIL::Not available separately; see TM 123 454.

In the case of a sequential group of related documents, the "related document" note should be written in compressed form and may refer to itself as part of the sequence, e.g., for the note to be included on TM 123 458:

CORRECT:	For related documents, see TM 123 456-460.
INCORRECT:	For related documents, see TM 123 456-457, and TM 123 459-460.

Analytics and their parts should always be contained within one issue of RIE and should not be spread across more than one issue.

Please note how accession numbers should be written when they are referred to as "related documents."

Incorrect: ED140204
ED 140,204
ED-140-204

Correct: ED 140 204

However, do not compress when the series referred to has gaps.

Incorrect: RC 012 994, 996

Correct: RC 012 994 and RC 012 996

Legibility Problems

Documents that contain material of marginal legibility that may not reproduce satisfactorily may, at the discretion of the cataloger, have a note added alerting the user to such material. If the document has been assigned Level 2 (i.e., no paper copy) because of such material, then a note must be added explaining the situation.

Level 1 (Optional Note)	NOTE::Several figures may not reproduce well due to marginal legibility.
	NOTE::Appendix C contains photographs that may not reproduce clearly.
Level 2 (Mandatory Note)	NOTE::Contains many pages of small, broken type.
	NOTE::Printed in colored ink on colored paper.

Since the EDRS Price field for Level 2 documents contains the statement "Paper copy not available from EDRS," it is not necessary to repeat this information in the NOTE field.

All legibility notes should be expressed as briefly as possible. Additional examples are as follows:

- Appendixes may not reproduce clearly.
- Charts/figures may not reproduce clearly.
- Print marginally legible.

TOO LONG NOTE::Some of the figures and some of the tables in part C may not reproduce well due to small and broken type.

IMPROVED NOTE::Several pages in part C may be marginally legible.

or

Several pages in part C may not reproduce clearly.

TOO LONG NOTE::Figure 3, page 13 (Sample: Student Station Utilization Chart) and Figure 4, page 14 (Sample Data: Student Station Utilization) may not reproduce well due to marginal legibility of original.

IMPROVED NOTE::Several figures may not reproduce well due to marginal legibility.

Copyrighted Segments of Documents

If a document has been made available for Level 1 processing by eliminating a copyrighted portion, an entry must be made in the Descriptive Note field in one of the following formats:

NOTE::Pages 121-143 of the original document are copyrighted and therefore not available; they are not included in the pagination.

NOTE::Pages 64, 66, and 68 of the original document are copyrighted and therefore not available; they are not included in the pagination.

Size of Bibliography

If the document is a bibliography, generally the abstract will note its size and other important characteristics. However, if a document merely contains a large bibliography or extensive set of references, the quantity of these is not always mentioned in the abstract. In such cases, at the discretion of the cataloger, they may be mentioned in the Descriptive Note field.

NOTE::Supporting bibliography of 413 references.

Translated by...

The translators of works having their own Personal Author are not cataloged in the Personal Author field. If it is felt useful to record the name of the translator for the benefit of the user, the information should be cataloged in the Descriptive Note field, as follows:

NOTE::Translated by Pyotr Kasparov.

"In" Notes

Occasionally individual papers or chapters are analyzed out of larger documents that themselves may or may not be going into the system. The cataloging records the specific title and author of the analyzed paper, but needs to also put the paper in context by referring to the larger work of which it is a part. This is best done by an "In" or "In its" note. The "In" note references the title, author and/or institution, series and/or publication date of the larger work. If the institution of the part is the same as that of the larger work, an "In its" note may be used, avoiding duplication of the institution reference. Examples follow:

NOTE::In: The Collected Teachings of Confucious. Oxford, Clarendon Press, 1981. v5, p79-124.

NOTE::In: Brown, James, Comp. Selections from Famous Diaries. New York, Decker Press, 1980. p240-259.

NOTE::In its: Papers and Reports on Child Language Development, Number 15, p160-169, Aug 1978.

NOTE::In its: Workpapers in Teaching English as a Second Language, Volume XIII, p69-102, Dec 1979.

Historical Note:

From 1966 through 1978, the language of non-English language documents was described in the Descriptive Note field, e.g., "In French."

Beginning with the January 1979 issues of RIE (ED-157 988) and CIJE (EJ-186 218), the language(s) of documents has been indicated only in the Language field (V.B.10).

SUMMARY OF SIGNIFICANT RULES

1. The Descriptive Note field is intended as a place to put a wide variety of information that should be communicated to the user, but that does not fit in any of the other fields, e.g., meeting where paper was presented, dissertation/thesis notes, related document notes, legibility problems, size of bibliography, etc.

2. Punctuation should be done in accordance with the normal rules of English usage, e.g., separate completely different thoughts or notes with a period rather than a semicolon, just as you would in regular text. However, the semicolon does not function as a subfield delimiter in the Descriptive Note Field and may be used as a normal element of punctuation.

3. Documents containing significant amounts of marginally legible/ reproducible material should carry a Note alerting the potential purchaser to this fact.

4. "Parent" documents should always carry a Note referring to any analytic "children" being individually entered.

5. When citing related ED numbers, use proper format, e.g., "For related documents, see ED 150 996-997, ED 150 999, and ED 151 101."

6. The standard two-character postal abbreviations for the states should be used in this field, where appropriate.

DESCRIPTIVE NOTE

EXAMPLES

PAPER PRESENTED AT...	NOTE::Paper presented at the National Conference for Associate Degree Programs in Nursing (3rd, St. Louis, MO, March 4-5, 1966).
DISSERTATION	NOTE::Ph.D. Dissertation, University of Connecticut.
RELATED DOCUMENT(S)	NOTE::For related documents, see TM 002 488-489.
LEGIBILITY PROBLEM	
Level 1 (Optional Note)	NOTE::Several figures may not reproduce well due to marginal legibility.
Level 2 (Mandatory Note)	NOTE::Contains many pages of small, broken type.
COPYRIGHTED SEGMENT	NOTE::Pages 121-143 of the original document are copyrighted and therefore not available; they are not included in the pagination.
SIZE OF BIBLIOGRAPHY	NOTE::Supporting bibliography of 413 references.

AVAILABILITY (OTHER THAN EDRS)

V.B.21

PROFILE

Data Element/Field	- Availability (Other Than EDRS)
Data Entry Tag	- AVAIL::
Field ID Number (Tape)	- 49
Character Set	- Alphabetic, Numeric, Special
Mandatory/Optional	- RIE (Optional for Level 1/ Level 2 documents—Mandatory for Level 3 documents) CIJE (Optional—Covers UMI reprint availability only)
Subfields Permitted	- No
Field Length (Experience)	- 13 (Min.); 449 (Max.); 10 (Av.)
Files	- RIE CIJE (UMI Only)

TYPICAL ENTRY

AVAIL::University Microfilms, P.O. Box 1764, Ann Arbor, MI 48106 (Order No. 72-22363, MF $9.00, PC $18.00).

This field provides information on the availability of documents from sources OTHER THAN EDRS. (For EDRS availability see V.B.7.) While the principal purpose of this information is to provide the user with access to documents not available from EDRS (i.e., Level 3 documents), alternate sources should be cited, when known, even if the document is available from EDRS.

Format of Availability Information

This field should contain all of the following information, when applicable and available.

- Full name of the source of the document. Extraneous phrases such as "Subsidiary of..." should be omitted. Use subunit names when necessary to achieve accurate mail delivery.
- Complete mailing address, including street number or Post Office box number. The standard two-character postal codes for states should be used. Standard abbreviations for "street," "avenue," "post office," etc., should be used. Other abbreviations should generally be avoided. Names of provinces and territories may be included where the address provided by the document does so.

- Catalog, Stock, or Order Number, when applicable. This would include such things as the GPO Stock Number, the University Microfilms Order Number, etc. It would not include the Library of Congress (LC) Card Number, which is not an order number. Standard abbreviations for "number," etc., may be used. The semicolon does not function as a subfield delimiter in this field and may be used as a normal mark of punctuation, as appropriate.

- Price of the document, including volume discounts. Do not use the cent (¢) sign: It is not in the ERIC character set. Translate prices quoted in cents to dollars, e.g., 75¢ should be entered as $0.75. Prices quoted in non-U.S. currencies should not be abbreviated and may use only characters appearing in the ERIC character set, e.g., 2 £ 5s 20d should be entered as 2 pounds, 5 shillings, 20 pence. Price information changes rapidly and should therefore be entered as succinctly as possible.

Do not use leading phrases such as "Available from...," or "Paper copy available from...." The computer system inserts the phrase "Available from..." in all RIE Availability field entries. "Paper Copy," "Microfiche," "Clothbound," and other document characteristics may, of course, be cited elsewhere in the Availability field (see "Typical Entry").

The Relationship Between Document Level and the Availability Field

- Level 1 (available from EDRS in MF and PC)

  Documents announced at Level 1 should always show an alternate availability, if known.

  Government Printing Office (GPO) sales documents (which should be announced at Level 1, see V.B.7) should always show the GPO availability, including the Superintendent of Documents Stock Number when it can be determined from the document or accompanying information. (Note: Not all documents printed by GPO are available from GPO.)

- Level 2 (available from EDRS in MF only)

  Documents announced at Level 2 should always cite any non-EDRS availability of originals or paper copy reproductions.

- Level 3 (not available from EDRS)

  Documents processed at Level 3 MUST cite a source where the user can obtain the document.

Analytics

If a document is an analyzed part of a "Parent" document and is not available separately, a reference to the "Parent" document should be entered, as in the following example:

AVAIL::Not available separately; see TM 002 473.

If the analyzed part is available separately, a reference to the "parent" document should be placed in the Descriptive Note field, e.g.:

NOTE::For related document, see TM 123 456.

Loan Documents

On occasion, all efforts to obtain a reproduction release or to determine an alternate availability for a copyrighted item will fail. Informing the educational community of such an item can only be justified then if a loan source can be specified. Loan-availability should in general be avoided, but when it can be fully justified, it should appear as in the following example:

AVAIL::ERIC/CRESS, Box 3AP, Las Cruces, NM 88003 (on loan).

Supporting Documentation/Audiovisual Materials

Unpublished supporting documentation, not included with the report in hand, or separate audiovisual components associated with the document, should generally only be referred to if some mode of access can be provided the user, and the source cited is willing to assume the administrative burden involved, as in the following examples:

AVAIL::Copies of tests used in the evaluation are available from ERIC/CRESS, Box 3AP, Las Cruces, NM 88003.

AVAIL::The Concordance of the Works of Schiller used as a basis for this study is available in computer printout form from MLA, 62 Fifth Ave., New York, NY 10011 (on loan).

AVAIL::The 351 color slides and audiotape described in the abstract are available from the National Audiovisual Center, Washington, DC 20409 ($85.00).

Special Arrangements

Many organizations that provide their documents to the ERIC data base are also engaged in selling these documents for income. In many cases, they are willing to give permission to enter their documents at Level 2 as long as ERIC cites the organizations as the source of original printed copies. Organizations that should always be cited as the source for printed copies of their own publications are listed in Figure V-15.

Use of Availability Field in CIJE

The use of the Availability field in CIJE is restricted to an indication of whether the article can be obtained via the University Microfilms (UMI) Journal Article Reprint Service. If the journal from which the article has been extracted appears in the UMI list of journals with which they have a reprinting agreement, then the Clearinghouse should enter "UMI" in this field, as shown below. The computer system automatically expands this to the phrase "Reprint: UMI" in the Master File and in the CIJE printed announcement.

AVAIL::UMI

AVAILABILITY

ADTSEA	American Driver & Traffic Safety Education Association
ACEI	Association for Childhood Education International
ASCD	Association for Supervision & Curriculum Development
—	California State Department of Education, Sacramento
HEEA	Home Economics Education Association
VEIS	Indiana University, Bloomington. Vocational Education Information Services
NAEA	National Art Education Association
NAOP	National Association of Office Personnel
NAESP	National Association of Elementary School Principals
NEA	National Education Association
NSPRA	National School Public Relations Association
NCRVE	Ohio State University, Columbus. National Center for Research in Vocational Education
OECD	Organisation for Economic Cooperation & Development, Paris, France
PDK	Phi Delta Kappa

FIGURE V-15: ORGANIZATIONS THAT SHOULD ALWAYS BE CITED AS THE SOURCE FOR PRINTED COPIES OF THEIR OWN PUBLICATIONS

SUMMARY OF SIGNIFICANT RULES

1. If a document is available from any source other than EDRS, that information should be placed in the Availability field. The information provided should contain all that is necessary to permit the user to obtain the document, i.e., full name of source, complete mailing address (including postal state codes and Zip Code), order number (if any), and price (if available).

2. Level 3 documents (those not available from EDRS) must have an entry in the Availability field. This would include analytics available only via the "Parent" document and documents available only on loan.

3. Punctuation in this field should be done in accordance with the normal rules of English usage. The semicolon does not function as a subfield delimiter in this field.

4. Certain organizations (Figure V-15) have made arrangements so that ERIC must always cite them as the source of availability for original copies.

5. Unpublished supporting documentation, not included with the report in hand, or separate audiovisual components associated with the document, cannot be processed by the ERIC delivery system. The availability of such components should be described in the Availability field.

6. The Availability field in CIJE is reserved for information concerning the availability of reprints. At the present time, only the University Microfilms International (UMI) reprint service is specifically cataloged. If the journal is available from UMI, then "UMI" is cataloged in this field. The CIJE computer system expands this to "Reprint: UMI." Journal publisher/availability information for the less well known and more difficult to obtain journals that are not listed in the *Source Journal Index*, is placed, when applicable, in the CIJE Annotation.

7. When citing an availability contact point within an organization, it is better to use a subunit name or a position title than a personal name. Specific people come and go, but organizations and positions have somewhat more permanence.

EXAMPLES

GPO	AVAIL::Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402 (Stock No. 017-080-02092-1, $6.50).
NTIS	AVAIL::National Technical Information Service, Springfield, VA 22161 (AD-A102 387/8, MF $3.50, HC $5.50).

For Federal Government agencies, city, state, and Zip Code are generally adequate, as in the above examples. However, for commercial, state, and private organizations, a street address or P.O. box number is required, as in the examples below.

UMI (Dissertations and Theses)	AVAIL::University Microfilms, P.O. Box 1764, Ann Arbor, MI 48106 (Order No. 72-22363, MF $9.50, PC $18.50).
UNIVERSITY PRESS	AVAIL::Oregon State University Press, P.O. Box 689, Corvallis, OR 97330 ($3.50).
PROFESSIONAL ASSOCIATION	AVAIL::American Institute of Chemical Engineers, 345 East 47 St., New York, NY 10017 ($15.50 postpaid).
COMMERCIAL PUBLISHER	AVAIL::UNIPUB, Box 433, Murray Hill Station, New York, NY 10016 ($6.50).
INDIVIDUAL (RARELY USED)	AVAIL::Walter Wiesman, P.O. Box 466, Huntsville, AL 35804 ($7.50), while supply lasts.
VOLUME DISCOUNTS	AVAIL::Project BOLD, P.O. Box 234, Rockville, MD 20853 (1-9 copies, $0.75 ea., 10-99, $0.65 ea., over 99, $0.50 ea.)
	AVAIL::Project BOLD, P.O. Box 234, Rockville, MD 20853 (1-9 copies, $0.75 ea., discounts on larger quantities).
ANALYTICS	AVAIL::Not available separately; see TM 002 473.
LOANS	AVAIL::ERIC Clearinghouse on Rural Education and Small Schools, Box 3AP, Las Cruces, NM 88003 (on loan).

AUDIOVISUAL SUPPLEMENTS	AVAIL::The 351 color slides and audiotape described in the abstract can be purchased from the National Audiovisual Center, Washington, DC 20409 ($85).
REPRINT OF CIJE JOURNAL ARTICLE IS AVAILABLE FROM UNIVERSITY MICROFILMS INTERNATIONAL (CIJE ONLY)	AVAIL::UMI NOTE: CIJE Computer System automatically expands this to "Reprint: UMI"
TWO SOURCES	AVAIL::National Clearinghouse for Drug Abuse Information, P.O. Box 1701, Washington, DC 20013; Center for Multicultural Awareness, 2924 Columbia Pike, Arlington, VA 22204.
WRITE FOR PRICE	AVAIL::Indochinese Materials Center, 324 East 11th Street, 9th Floor, Eleven Oak Building, Kansas City, MO 64106 (write for price).

GEOGRAPHIC SOURCE OF DOCUMENT

V.B.22

PROFILE

Date Element/Field	- Geographic Source of Document
Data Entry Tag	- GEO::
Field ID Number (Tape)	- 77
Character Set	- Alphabetic
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- No
Field Length (Experience)	- 15 (Av.)
Files	- RIE (Since January 1979, ED-157 988)

TYPICAL ENTRY (RIE Only)

GEO::U.S.; Indiana

This data element was added to the ERIC file beginning with the January 1979 issue of RIE (ED-157 988). It is not employed with the journal article file (CIJE).

The Geographic Source of the document is intended to indicate the country of origin (usually the place of publication). For the English-speaking countries, which provide the bulk of the input to ERIC, the cataloging is extended to the state or provincial level. In the case of:

- United States, the indication extends to the state or territory level.
- Canada, the indication extends to the provincial level.
- United Kingdom, the indication extends to the four major units comprising that country: England, Scotland, Northern Ireland, and Wales.
- Australia, the indication extends to the major divisions of that country: New South Wales, Northern Territory, Queensland, South Australia, Tasmania, Victoria, Western Australia, and Australian Capital Territory.

When faced with the need to determine the state, province, or territory of a given city, an authoritative gazetteer should be used. In the case of all other countries, further subdivision is not to be used at this time, though the option for expansion later has been retained. (Similarly, subdivision of the United States to the county level is a potential future option.)

GEOGRAPHIC SOURCE OF DOCUMENT

See Figure V-16 for a complete authority list of names to be employed. The country names employed here are intended to be identical to those appearing in the *Identifier Authority List* (C.5.e of Section VIII (Part 2)), with the sole exception that, since the vast majority of documents are domestic, in the interests of brevity, "U.S." is to be used in lieu of "United States." Records not carrying a "U.S." in this field will be, by definition, "foreign" documents.

This field should not be confused with the subject of the document. If a country or geographic area is the subject of the document, it should be entered in the Identifier field for appearance in the Subject Index. Nor should it be confused with the Institution field, which records the full name of the preparing organization, but does not attempt to record its geographic location in searchable format.

As with all cataloging, this data element is to be determined from evidence in the document itself. Research beyond the document is neither necessary nor desirable. All RIE records should carry this data element; however, if it should prove impossible to determine geographic origin (or to make a reasonable "educated" guess), this field should be left blank. If it can be determined that the document is domestic, but the state cannot be determined, then enter solely the country, e.g., "U.S."

Several troublesome situations arise in documents that can make decisions in this field difficult. The following series of questions and answers provides solutions to these problems.

Question: The document is a separate paper presented at a conference. The author is affiliated with an institution in state A; the conference was held in state B. What should the GEO be?

Answer: The location of the conference is strictly incidental. Groups move their conferences around for a wide variety of reasons, more having to do with the accidents of space availability that anything else. More fundamental is the location where the author resided when the paper was prepared. If the GEO choice is between these two, choose the author's location. If all that is known is the conference location then use that.

Question: The document has two authors each of which is affiliated with an institution in a different state. There is no other location information. What state should be used to determine the GEO?

Answer: The first-named author is usually the principal author and should take precedence over second and subsequent authors in determining Geographic Source. If the authors are listed alphabetically, or there are other reasons to question principal authorship, it is always permissible to simply cite "U.S." (for a domestic document), without a further breakdown by state. The same argument holds for publications prepared jointly by two or more organizations each in a different geographic location.

Question: The parent document is a formal Proceedings of a conference. The individual papers contained in the Proceedings have been "analyzed" out as separate accessions. The Proceedings volume itself has a formal publisher (e.g., Academic Press). Should the individual papers be given the same GEO source as the parent document or a GEO source in accordance with the particular author's affiliation?

Answer: It is best to treat the "analytics" exactly as they would be if they came through as separate papers (i.e., not published in the one-volume Proceedings). ERIC processes a lot of such material, and whether ERIC gets it early (in the form of separate papers) or late (as part of a published Proceedings), it is best to have a consistent approach to the cataloging thereof. Therefore, the entire Proceedings volume should be cataloged to the location of its publisher; the analytics should be cataloged in accordance with their respective authors' affiliations.

SUMMARY OF SIGNIFICANT RULES

1. The Geographic Source field is used to indicate the country of origin of the document. It should not be confused with the subject matter of the document.

2. Country names are cited in the same format in which they appear in the *Identifier Authority List* (IAL), except for the United States, for which "U.S." is used.

3. For purposes of the GEO field, the four principal English-speaking countries (U.S., United Kingdom, Canada, Australia) are subdivided to the state, province, or territory level.

4. Papers presented at conferences should be identified with the geographic location of the principal author.

5. Analytics should be treated as individual papers, each potentially from a different location, and should not all be identified with the Geographic Source of the parent document.

6. When there are multiple authors, each from different locations, and no other clues as to where the document came from or was published, use the location of the prime (first listed) author.

7. The Geographic Source field is not used in CIJE, and the Geographic Source of CIJE journal articles is not to be cataloged. DO NOT USE the CIJE Identifier field for cataloging a Geographic Source, unless the geographic area in question is ALSO the subject of the journal article.

EXAMPLES

DOMESTIC, WITH STATE	GEO::U.S.; Indiana
	GEO::U.S.; District of Columbia
	(Incorrect is: U.S.; Washington, D.C.)
DOMESTIC, WITH TERRITORY	GEO::U.S.; Guam
DOMESTIC, STATE UNDETERMINABLE	GEO::U.S.
	(Incorrect is U. S.)
UNIT OF UNITED KINGDOM	GEO::United Kingdom; Scotland
PROVINCE OF CANADA	GEO::Canada; Alberta
UNIT OF AUSTRALIA	GEO::Australia; Queensland
NON ENGLISH-SPEAKING COUNTRY	GEO::France
COUNTRY UNDETERMINABLE	GEO::
	(NOTE: Field to be left blank)

GEOGRAPHIC SOURCE OF DOCUMENT

List 1: U.S. Territories

American Samoa
Guam
Pacific Trust Territory
Puerto Rico
Virgin Islands

List 2: Canadian Provinces and Territories

Alberta
British Columbia
Manitoba
New Brunswick
Newfoundland
Northwest Territories
Nova Scotia
Ontario
Prince Edward Island
Quebec
Saskatchewan
Yukon Territory

List 3: United Kingdom Divisions ("Countries")

England
Northern Ireland
Scotland
Wales

List 4: Australian States and Territories

Australian Capital Territory
New South Wales
Northern Territory
Queensland
South Australia
Tasmania
Victoria
Western Australia

FIGURE V-16: COUNTRY NAMES AUTHORITY LIST

List 5: Preferred Country Names

(* = older name form)

Afghanistan
Albania
Algeria
Andorra
Angola
Argentina
Australia
  NOTE When appropriate, also use state or territory (see List 4, above)
Austria
Bahamas
Bahrain
Bangladesh
  SF East Pakistan
Barbados
Belau
  SF Palau Islands
Belgium
Belize
  SF British Honduras
Benin
  SF Dahomey
Bermuda
Bhutan
Bolivia
Bophuthatswana
Botswana
Brazil
Britain
  USE United Kingdom
*British Guiana
  SEE Guyana
*British Honduras
  SEE Belize
Brunei
Bulgaria
Burma
Burundi
*Cambodia
  SEE Kampuchea
Cameroon
Canada
  NOTE When appropriate, also use province (See List 2, above)
Cape Verde
Central African Republic
*Ceylon
  SEE Sri Lanka
Chad
Chile
China
  NOTE Do not confuse with Taiwan
  UF Mainland China; Peoples Republic of China
Ciskei
Colombia
Comoros
Congo
Costa Rica
Cuba
Cyprus
Czechoslovakia
*Dahomey
  SEE Benin
Democratic Yemen
  UF Peoples Democratic Republic of Yemen; Yemen (Democratic); Southern Yemen
Denmark
Djibouti
Dominica
Dominican Republic
East Germany
  UF German Democratic Republic
*East Pakistan
  SEE Bangladesh
Ecuador
Egypt
El Salvador
*Ellice Islands
  SEE Tuvalu
Equatorial Guinea
Ethiopia
Federal Republic of Germany
  USE West Germany
Fiji
Finland
*Formosa
  SEE Taiwan
France
*French Guiana
  SEE Guiana
French Polynesia

FIGURE V-16: COUNTRY NAMES AUTHORITY LIST (CONTINUED)

Gabon
Gambia
German Democratic Republic
  USE East Germany
German Federal Republic
  USE West Germany
Ghana
*Gilbert Islands
  SEE Kiribati
Great Britain
  USE United Kingdom
Greece
Grenada
Guadeloupe
Guatemala
Guiana
  SF French Guiana
Guinea
Guinea Bissau
Guyana
  SF British Guiana
Haiti
*Holland
  SEE Netherlands
Honduras
Hong Kong
Hungary
Iceland
India
Indonesia
Iran
Iraq
Ireland
Israel
Italy
Ivory Coast
Jamaica
Japan
Jordan
Kampuchea
  SF Cambodia; Khmer Republic
Kenya
*Khmer Republic
  SEE Kampuchea
Kiribati
  SF Gilbert Islands
*Korea
  SEE North Korea; South Korea
Kuwait
Laos
Lebanon
Lesotho
Liberia
Libya
Liechtenstein
Luxembourg
*Madagascar
  SEE Malagasy Republic
Mainland China
  USE China
Malagasy Republic
  SF Madagascar
Malawi
Malaysia
Maldives
Mali
Malta
Martinique
Mauritania
Mauritius
Mexico
Monaco
Mongolia
Morocco
Mozambique
Namibia
  UF South West Africa
Nationalist China
  USE Taiwan
Nauru
Nepal
Netherlands
  SF Holland
Netherlands Antilles
New Caledonia
New Hebrides
New Zealand
Nicaragua
Niger
Nigeria
North Korea
  SF Korea
*North Vietnam
  SEE Vietnam
Norway
Oman
Pakistan
  SF West Pakistan

FIGURE V-16: COUNTRY NAMES AUTHORITY LIST (CONTINUED)

*Palau Islands
SEE Belau
Panama
Papua New Guinea
Paraguay
Peoples Democratic Republic of Yemen
USE Democratic Yemen
Peoples Republic of China
USE China
Peru
Philippines
Poland
Portugal
Qatar
Reunion
*Rhodesia
SEE Zimbabwe
Rumania
*Russia
SEE USSR
Rwanda
San Marino
Sao Tome e Principe
Saudi Arabia
Senegal
Seychelles
Sierra Leone
Singapore
Solomon Islands
Somalia
South Africa
South Korea
SF Korea
*South Vietnam
SEE Vietnam
South West Africa
USE Namibia
Southern Yemen
USE Democratic Yemen
Spain
*Spanish Sahara
SEE Western Sahara
Sri Lanka
SF Ceylon
Sudan
Surinam
Swaziland
Sweden
Switzerland
Syria
Taiwan
SF Formosa
UF Nationalist China
*Tanganyika
SEE Tanzania
Tanzania
SF Tanganyika
Thailand
Togo
Tonga
Transkei
Trinidad and Tobago
Tunisia
Turkey
Turks and Caicos Islands
Tuvalu
SF Ellice Islands
Uganda
United Arab Emirates
United Kingdom
UF Britain
UF Great Britain
NOTE When appropriate, also use "Country" division of U.K. (See List 3, above)
United States
NOTE When appropriate, also use state or territory name(s)
Upper Volta
Uruguay
USSR
SF Russia
Vatican City State
Venda
Venezuela
Vietnam
SF North Vietnam; South Vietnam
West Germany
UF Federal Republic of Germany; German Federal Republic
*West Pakistan
SEE Pakistan
Western Sahara
SF Spanish Sahara
Western Samoa
Yemen
NOTE Yemen Arab Republic
Yemen (Democratic)
USE Democratic Yemen
Yugoslavia
Zaire
Zambia
Zimbabwe
SF Rhodesia

FIGURE V-16: COUNTRY NAMES AUTHORITY LIST (CONTINUED)

GOVERNMENTAL STATUS OF DOCUMENT

V.B.23

PROFILE

Data Element/Field	- Governmental Status of Document
Data Entry Tag	- GOV::
Field ID Number (Tape)	- 78
Character Set	- Alphabetic
Mandatory/Optional	- RIE (Optional) CIJE (Not Used)
Subfields Permitted	- No
Field Length (Experience)	- 5 (Min.); 13 (Max.); 6 (Av.)
Files	- RIE (since January 1979, ED-157 988)

TYPICAL ENTRY (RIE Only)

GOV::Federal

This data element was added to the ERIC file beginning with the January 1979 issue of RIE (ED-157 988). It is not employed with the journal article file (CIJE).

Governmental Status is intended primarily to indicate whether the document is a publication of a Federal, State, or Local (i.e., City, County) governmental body in the United States and its territories. Legislative, judicial, and executive/regulatory agencies are defined as governmental in this context. Commissions formed under executive authority or legislative mandate are included. Elected Boards of Education are included where they are separate entities, distinguishable from the school system. Schools, colleges, universities (and districts or systems of such institutions) are excluded, even if tax-supported.* The document must be an official production of the governmental body involved. Contractor reports are not to be considered government documents unless they have been issued as a publication of the agency involved, e.g., complete with

---

* Factors considered in this exclusion are:

(1) The number of individual schools far exceeds the number of regular governmental agencies in any one jurisdiction. As a result, ERIC contains a large number of documents emanating from schools, school systems, and school districts. If they were all coded as governmental, they would swamp the category and prevent the retrieval of the works of agencies normally thought of as government;

(2) Without research it is sometimes difficult to determine whether a given school is state or local, public or private, tax-supported or not;

(3) Schools do not govern or regulate in the same sense as other tax-supported agencies.

seal, agency imprint, and other official indicators.** Non-official papers and speeches of government employees are not to be considered government documents. Documents published by more than one level of government (e.g., state and local working together) are to be classed at the highest level involved.

In the case of domestic documents, the *United States Government Manual* is the authority in determining which quasi-governmental units are to be considered "Federal." The *State Information Book* can be equally useful in checking the status of state organizations.

In the case of non-U.S. governmental documents, their governmental status will be indicated as at that general level (i.e., "Foreign"), without distinguishing further sub-levels. It may be difficult to determine in some cases whether a given "foreign" document is governmental or not. Unless there is a strong reason to believe it is a government document, do not catalog it as such.

If a document is a product of a multi-governmental body, such as the United Nations (or its constituent organizations), Council of Europe, etc., it should be cataloged as "International." International organizations not comprised of governments should be considered non-governmental and should generate no entry in this field.

The permissible terms in this field are: Federal, State, Local, Foreign, International. These are the only terms permitted and all variations are invalid, e.g., Federal Government, County, etc.

Governmental documents of the District of Columbia and the various U.S. territories and possessions (e.g., Puerto Rico, Guam, etc.) should be cataloged as at the "State" level.

**Contractor reports are usually issued by the contractor, not the sponsor, and they often contain specific notices disclaiming any official status. However, contractor reports of exceptional quality or interest may, on occasion, be published (or republished) under the agency imprint, in which case they should then (and only then) be considered government publications.

SUMMARY OF SIGNIFICANT RULES

1. Documents issued by governmental bodies must be coded in this field. For non-governmental documents this field will be left blank.

2. The permissible entries in this field are:

for domestic documents:	Federal, State, Local
for non-domestic documents:	Foreign, International

3. Schools, colleges, universities, etc., are, for purposes of this field, not regarded as governmental, even if tax-supported.

4. Contractor reports are not to be considered the official publications of government agencies, unless reissued under the official imprint of the government agency for which they were done.

EXAMPLES

Domestic (i.e., U.S.) Federal Government	GOV::Federal
Domestic (i.e., U.S.) State Government	GOV::State
Domestic (i.e., U.S.) Local Government (i.e., County, City, Township, etc.)	GOV::Local
Foreign Government (i.e., non-U.S.) (Any Level)	GOV::Foreign
International (Multi-governmental bodies, e.g., United Nations)	GOV::International
Non-Government	GOV::

(NOTE: Field to be left blank)

IDENTIFIERS

V.B.24

PROFILE

Data Element/Field	- Identifiers
Data Entry Tag	- IDEN::
Field ID Number (Tape)	- 36
Character Set	- Alphabetic, Numeric, Special (Parentheses Only)
Mandatory/Optional	- Optional
Subfields Permitted	- Yes
Field Length (Experience)	- 3 (Min.); 544 (Max.); 35 (Av.)
Files	- RIE and CIJE

TYPICAL ENTRY

IDEN::King Kong; *Project Adventure

This field provides for additional subject indexing terms that may be required to fully index a document, but which are not appropriate for inclusion in the ERIC *Thesaurus* (or which have not yet been added to it). Such indexing terms include, for example: project names (e.g., Project Head Start), legislation (e.g., Economic Opportunity Act 1964), titles (e.g., Doctor Zhivago), and new subject terms under consideration for Descriptor status once their scope, "staying power" in the Identifier "proving ground," and definition have been established. Rules and guidelines for the selection and creation of Identifiers are detailed in Section VIII (Part 2) of this manual.

While Identifiers are only semi-controlled indexing terms, without the same cross-reference structure as Descriptors, approved Identifiers are displayed in the *Identifier Authority List* (IAL). When entering Identifiers, the IAL (and its supplements) should always be consulted in order to verify the proper format. Desirable indexing terms not found in either the *Thesaurus* or the IAL may be established and used in the Identifier field, provided the guidelines in Section VIII (Part 2) are followed.

Indexing Depth

The use of Identifiers for indexing documents is optional. There is no requirement that an Identifier be assigned to every document. In point of fact, the average number of Identifiers per document is less than one. Use one or more Identifiers only when required to adequately index the document.

Major Identifiers

There is no minimum requirement for Identifiers; however, no more than two (2) Identifiers may be asterisked (*) as major indexing terms in any one record. Only one (1) major Identifier may be used if the record has six (6) major Descriptors. As with major Descriptors, only major Identifiers appear in the subject indexes of RIE and CIJE. The purpose and function of major Identifiers is the same as for major Descriptors (see V.B.12).

SUMMARY OF SIGNIFICANT RULES

1. Individual Identifiers may not exceed 50 characters in length, including blank spaces.

2. Identifiers may not contain any punctuation other than left and right parentheses (to enclose a qualifier).

3. Multiple Identifiers must be separated by semicolons followed by a space.

4. There is no minimum or maximum number of Identifiers that may be entered for a given record.

5. Identifiers are written with initial capital letters. Except when used as the initial word or in a literary/artistic title (e.g., "Graduate (The)"), articles, prepositions, and conjunctions are not capitalized in an Identifier. Acronyms (all upper case) may also be used as part of an Identifier; however, because of their potential for being homographs, the use of acronyms alone as Identifiers is discouraged.

6. No more than two (2) Identifiers may be asterisked (*) as major subject terms for any one record. (Since the overall limit for major terms is seven (7)), two Identifiers can be made major only when there are no more than five (5) major Descriptors.

7. Identifiers should be entered exactly as they appear in the *Identifier Authority List* (IAL). If new, they should be structured in accordance with the guidelines of Section VIII (Part 2) of this manual.

8. There is no requirement for any particular order or sequence of the Identifiers being entered. Similarly, major Identifiers do not have to precede minor Identifiers, or vice versa.

9. Institutions should not be cited in the Identifier field unless they are actually the subject of the document. Situations where the same organization name appears in both the Institution field and the Identifier field are generally the result of faulty cataloging.

10. Most U.S. and Canadian organization names used as Identifiers should be followed by a two-character postal code showing the state/province location of the organization. For guidance on this rule see Item C.15.a of Section VIII (Part 2).

11. All ERIC Clearinghouse Publications should be assigned the Publication Type 071. It is not necessary to use the Identifier "Information Analysis Products" unless IAPs are the subject of the document.

EXAMPLES

SINGLE IDENTIFIER

IDEN::Project Head Start

MULTIPLE IDENTIFIERS (MAJOR/MINOR MIX)

IDEN::*Elementary Secondary Education Act Title III; Alabama

PERSONAL NAME IDENTIFIER

IDEN::Gandhi (Mahatma)

DOMESTIC INSTITUTIONAL IDENTIFIER (WITH STATE DESIGNATION ADDED)

IDEN::Riverside Unified School District CA

USES OF PARENTHESES

IDEN::Apache (Tribe)
IDEN::Arabic (Cairene)
IDEN::Erikson (Erik)
IDEN::Ministry of Education (USSR)
IDEN::Monopoly (Game)
IDEN::Paragraph Reading Test (Olson)

IDENTIFIER CONTAINING NUMERIC CHARACTERS

IDEN::Proposition 13 (California 1978)

IDENTIFIER CONTAINING ACRONYM

IDEN::Project TALENT
IDEN::DOBIS System

LEGISLATION

IDEN::Social Services Act 1974
IDEN::Brown v Board of Education

ABBREVIATED IDENTIFIER (REDUCED TO 48 CHARACTERS)

IDEN::Maryland Commission Study Educ Needs Handicapped

RDU PROGRAM DOCUMENTS

IDEN::Research and Development Utilization Program

INACTIVE/OBSOLETE

DATA ELEMENTS/FIELDS

PROJECT NUMBER

V.B.25

PROFILE

Data Element/Field	- Project Number
Data Entry Tag	- BN::(Derived from Bureau Number)
Field ID Number (Tape)	- 48
Character Set	- Alphabetic, Numeric, Special (hyphens and slashes)
Mandatory/Optional	- Optional (Use discontinued in 1982)
Subfields Permitted	- Yes
Field Length (Experience)	- 4 (Min.); 64 (Max.); 9 (Av.)
Files	- RIE only (Inactive; discontinued in 1982)

TYPICAL ENTRY (RIE Only)

BN::BR-5-8047
BN::V361123L; 498AH80003

NOTE: This data element not currently in use.

A Project Number is the alphanumeric code assigned by the Sponsoring Agency to the project under which the document in hand was produced. Project Numbers should not be confused with Contract/Grant Numbers.

Historical Note: This data element was in use through June 1982. During this time only U.S. Office of Education and U.S. Department of Education Project Numbers were cataloged. Early U.S. Office of Education contractor reports utilized a Project Number beginning with the prefix "BR" (standing for Bureau of Research), e.g., BR-5-8047. This format was later discontinued. No unified Project Number system exists for all Department of Education components and many components do not use Project Numbers at all. For this reason, and because Project Numbers appear on documents so infrequently, this data element has been made inactive.

PROGRAM AREA CODE

V.B.26

PROFILE

Data Element/Field	- Program Area Code
Data Entry Tag	- PA::
Field ID Number (Tape)	- 20
Character Set	- Numeric
Mandatory/Optional	- Optional (Use discontinued in 1979)
Subfields Permitted	- No
Field Length	- 2 (Fixed Length)
Files	- RIE only (Inactive; discontinued in 1979)

TYPICAL ENTRY (RIE Only)

PA::32

NOTE: This data element not currently in use.

The two-digit numeric Program Area code was established to identify the legislative authority under which the project producing the document was funded. Unfortunately, relatively few documents made a practice of citing their authorizing legislation. In recent years, the code appeared infrequently in RIE records, and, in 1979, it was dropped entirely and labeled inactive.

The authorized codes and congressional legislative authorities in effect when the code was in use are listed in Figure V-17. When in use, the Program Area Code was entered as shown in the typical entry above.

PROGRAM AREA CODE

NOTE: THIS DATA ELEMENT NOT CURRENTLY IN USE

CODE	PROGRAM AREA
08	Adult and Vocational Education, PL 88-210
16	Captioned Films for the Deaf, PL 85-905
24	Cooperative Research, PL 89-10, Title IV
32	Disadvantaged Students Program, PL 89-10, Title I
40	Handicapped Children and Youth, PL 88-164
48	Language Development, PL 85-864, Title VI
52	Library Research and Development, PL 89-320, Title III, Part B
56	New Educational Media, PL 85-864, Title VII, Part A
64	New Educational Media, PL 85-864, Title VII, Part B
72	Research in Foreign Countries, PL 83-480
80	State Educational Agencies Experiment Activities, PL 89-10, Title V, Section 505
88	Supplementary Centers and Services, PL 89-10, Title III
95	Other Office of Education and National Institute of Education Programs (Projects for which the legislative authority cannot be determined are included here).

FIGURE V-17: PROGRAM AREAS AND CODES

C. DOCUMENT PREPARATION (DURING CATALOGING FOR RIE)

C. Document Preparation (During Cataloging for RIE)

The technical report or "fugitive" literature collected by ERIC is produced by a wide variety of printing techniques in many formats, and under variable degrees of quality control. The producer of the document may be an individual working with minimal technical support or may be a large organization with access to both editors and graphic artists. Since the documents processed by ERIC go on to be microfilmed and to be reproduced in microfiche and paper copy for sale to users, it is essential that the ERIC document processor prepare the document in such a way that a copy of it is a saleable product.

During the selection process, many conditions are pointed out (see Section III.E) that can affect the decision to accession or not. However, it is usually during the cataloging process that any remedial actions are actually taken.

The kinds of problems requiring document preparation may be divided into three categories:

- Physical problems with the pages of the document;
- Legibility problems or reproducibility problems with the type, inks, papers, figures, etc.;
- Technical problems having to do with the availability of information external to the document, copyrighted segments of documents, and the affixing of the ERIC labels and accession numbers.

In addressing these problems, the ERIC document processors should keep in mind that the documents will in all likelihood be filmed and provided to paying users as copies of exactly what leaves their hands. If problem situations cannot be fixed, the user should be warned in the cataloging that they exist. While pagination (of all Level 1 and 2 documents) is a centralized ERIC Facility function, the paginator assumes that the document has been made ready by the Clearinghouses for page numbering. If problems with a document prevent pagination from proceeding, the document will be removed from RIE input and will be returned to the submitting Clearinghouse for any necessary action.

1. Physical Problems

a. Cover and Title Page Essentially Identical

If the Cover and Title page are essentially identical, there is no point in filming (and making the user pay for) a completely redundant page. However, if one does not completely subsume the other, then both should be left intact and filmed. Information (e.g., report numbers, series information, disclaimers, dates, etc.) must never be lost through this process. If in doubt, retain both pages.

b. Missing Pages or Sections

Documents should be checked page-by-page to determine that all pages are present. This can be done in various ways:

- by accounting for all page numbers
- by checking against the Table of Contents
- by checking continuity from one page to the next, etc.

It is not unusual for appendices and other material at the back of the document to be missing.

Missing pages must usually be replaced, either by obtaining a replacement copy of the document or by inserting the missing material. If, however, it is determined that the missing material may safely be left out without any adverse effect, or that the missing material must be left out (e.g., author's request, copyright, etc.), then the document processor should:

- insert into the document, where the gap occurs, a notice in the following format:

  "Page(s) _____ was (were) missing (removed) from this document prior to its being submitted to the ERIC Document Reproduction Service."

- mark the disclaimer label on the cover, appropriately, indicating document modification.

- insert into the Descriptive Note field an appropriate statement explaining the fact that material is missing and the reasons therefor.

c. Out of Sequence Pages or Sections

The check for missing pages will usually reveal any out of sequence pages. Such pages should simply be re-sequenced in the correct order.

d. Duplicate Pages

The check for missing pages will usually reveal any duplicate pages. Such pages should simply be removed.

e. Blank Pages

Blank pages, occurring sporadically in documents where the pages are routinely printed front and back, are not filmed (even if numbered in the original document). On each such blank page,

the Clearinghouse should add the following legend in letters approximately one-quarter inch (¼") high:

BLANK PAGE
DO NOT FILM

In order to avoid bleedthrough, do not use felt markers for adding this legend. A rubber stamp or a sticker with the letters in a color other than black is recommended. Since this is a recurring operation, either of these techniques is to be preferred over hand lettering or marking, e.g., a large "X" on the page. This notice is for the Facility paginator and the EDRS operator of the microfilming equipment. The legend should, therefore, be prominent and visible. Small legends at the bottom of a page are not recommended.

NOTE: This instruction does not apply to documents that through their entire length are printed on one side of the page only. The page number stamping done by the Facility will suffice in such patterned cases to communicate filming instructions to EDRS.

f. Extraneous/Superfluous Pages

There are occasionally pages in a document that bear some small amount of printed material (e.g., a logo, heading, tab, etc.), but that are essentially blank. A judgment must be made as to whether the fragmentary information on the page is useful for the user, whether it may safely be ignored, or whether it can be simply moved to the next substantive page. Many of these pages are fly pages or act as separators for sections or parts of the document. If the material immediately following the separator also contains the heading or title, then the separator may be deleted without loss. If the document is printed front and back and the extraneous page has text on the other side, the processor may indicate that it is not to be filmed by marking a large "X" across the entire page.

Note that disclaimer statements by government agencies or other organizations are not to be considered superfluous.

Extraneous pages of this type may be fairly numerous in curriculum guides and other such material and their removal may be consequential in lowering the price of the item.

g. Loose Pages

Documents receive considerable handling at the ERIC Facility and at EDRS. If documents are not bound but consist of loose pages, there is danger that they will get out of sequence somewhere along the way. All documents consisting of loose pages (or having some loose pages) should, therefore, be secured in some way, with a binder, metal fastener, rubber bands, etc., to prevent their disarray.

h. Wrong-Reading Pages

Pages with material reading at variance with the normal reading orientation of the document are called "wrong-reading." Usually such pages have material reading parallel to the long dimension. It is ERIC's policy that all pages will be filmed in a right-reading orientation for the microfiche. When a wrong-reading page is turned 90° to accomplish this, it usually then occupies two frames on the microfiche. In some cases, however, this can be avoided because the actual material on the wrong-reading page is not wider than 8½". In such cases the wrong-reading page can be remounted by the document processor in the correct right-reading orientation to become a normal 8½" x 11" page. This is worth doing because each page handled in this way results in one less microfiche frame expended and, possibly, a lower overall price.

i. Oversize Pages and Foldouts

Oversize pages are defined as any page over 8½" in width or 11" in height. Section V.B.5 on Pagination, details how such large pages are converted into multiple microfiche frames. Occasionally, however, the filming problems caused by oversize pages can be avoided altogether if the document processor can convert them beforehand into normal 8½" x 11" pages. The possible techniques involved are: "reducing" office copiers; trimming and remounting; cutting and remounting; and re-typing. Care must be taken in all cases not to lose text. Legal size documents, such as many originating in Europe, may often easily be reduced from 14" to 11" in height by trimming the top and bottom margins.

Document preparation of this type can involve an extensive amount of work and is usually only practical for individual problem pages and not for entire documents.

j. Undersize Pages

Undersize pages present no real filming problem but occasionally, if small enough, may present an opportunity for compression. If two small pages can be made to fit in the standard 8½" x 11" page space, some documents can be halved in size.

k. Attachments, Supporting Documentation, Advertising, Nonprint Components

If a document consists of a main part plus some supplementary parts, it must be made completely clear whether the supplementary materials are to be considered part of the document for filming purposes or whether they are simply being sent along for informational purposes. If nonprint components are transmitted, their subsequent disposition should be indicated.

2. Legibility/Reproducibility Problems

Factors that cause legibility/reproducibility problems are discussed in detail in the *ERIC Document Reproducibility Guidelines*, which should be consulted to determine the impact of any given factor. If re-typing is not practical because the legibility problems are extensive, the user should be alerted to the problem via the Note field.

a. Type Size

In general, type size of 6 point or below causes serious reproduction problems. When only a page or two are involved, re-typing should be considered.

b. Broken/Faint/Smudged Type

Broken type is the consistent dropping of portions of the characters, e.g., the left side, the descenders, the top, etc. Faint type usually results from too little ink, either via the typewriter ribbon or the printing press. Smudged type has had the original characters spread or dispersed around themselves, thereby confusing their nature.

Unlike the small type problem, which is inherent with the document, the broken/faint/smudged type problem may sometimes be solved by acquiring an improved copy (even perhaps the original) from the author or source.

If an improved copy cannot be obtained, remedial actions are generally limited to either re-typing of the affected text or hand re-touching of the faulty characters. Sometimes broken characters can be made readable (and reproducible) by hand lettering of the defective lines. When this approach is taken, a fine point artist lettering pen with an India ink cartridge is recommended. As with re-typing, re-touching is only feasible when the amount of material is modest in quantity.

c. Colored Pages or Inks

The combinations of colored pages and inks that film poorly are shown in the *ERIC Document Reproducibility Guidelines*. When these are found in a document, the principal remedial action that can be taken is to simply photocopy the colored pages and replace them with the resultant black and white copies. Re-typing is rarely possible because when a document utilizes colored papers or inks it generally does so extensively.

Colored pages are sometimes used in curriculum materials to distinguish materials for the teacher's use from materials for the student's use. Since the colors are lost in the filming process, the distinction between the sections can only be maintained by use of a code or other wording added by the document processor to the pages.

Colors are sometimes used as a coding technique in charts, tables, and bar graphs to convey meaning. Since the colors are lost in the filming process, the information contained in the original figure can only be retained if some symbol is used to substitute for the color. The document processor should consider different kinds of cross-hatching, arrows, patterns of special characters, and footnotes to achieve this end. Samples 144 and 145 in the *ERIC Document Reproducibility Guidelines* provide an example of this technique. Clearinghouses should not hesitate to use these techniques in order to preserve the information contained in the original text.

d. Photographs

Photographs do not film or copy well unless very stark and simple in their content. There is nothing that the document processor can do to improve them; however, they are better left in the document for the information they can convey. If a document depends heavily on photographs, it is advisable to state this fact in the Descriptive Note field, e.g., "Contains 25 early photographs of American Indians, which will not reproduce well."

e. Figures, Tables, Illustrations

Figures, tables, and illustrations are frequent sources of reproduction difficulties and should be scrutinized by document processors with this in mind. Statistical tables and figures are often reduced excessively. Drawings and illustrations are often faint. Re-typing or re-touching are usually the only possible remedial actions.

f. Handwriting/Script in Documents

Handwritten text appears in documents in various ways. Sometimes it is in the form of author corrections or additions inserted for emphasis during presentation. Sometimes it is integral to the subject matter, e.g., factors affecting student handwriting. Script rarely reproduces well. If the script is in the form of corrections or additions to a typed or printed text, the document processor should consider re-typing to incorporate the script. If the script is integral to the document, but faint, the document processor should consider tracing over the lines to make them darker.

g. Miscellaneous

Pencil or pen markings that may have been inserted by an author but that are not significant should be erased or eliminated with correction fluid without affecting the text. Clearinghouse abstractors and indexers should be cautioned against contributing to such marks during the performance of their function.

Folded or rumpled pages should be flattened out as much as possible, or re-copied.

Felt tip markers should never be used for darkening text or title page information as the ink may bleed through and obliterate the text on the other side.

3. Technical Problems

a. Information Known But Not on Document

During the course of acquiring a document or obtaining a reproduction release, the Clearinghouse will often obtain information of use in the cataloging process that goes beyond what appears in the document, e.g., author's name and affiliation, institution name, date of issuance, geographic source, contract number, availability data, etc.

When practical, this information should be added to the Title Page. If there is no real Title Page, or the text begins on the first page and there is no room for additions, the Clearinghouse should consider the creation of a Title Page to house the additional information. When adding information to a Title Page, enclose the information in square brackets to indicate that it was supplied from sources external to the document.

If the new information is not added in some way to the document, but is placed in the cataloging, then it is essential that supporting documentation for the information accompany the submission, so that the editors can distinguish errors from valid additions.

b. Information Known But at Variance with That on Document

If information is discovered that corrects information on the document, then the document should actually be corrected. However, if the new information is obtained in the form of an official "errata" then the errata page should simply be inserted directly after the Title Page. Obvious typographical errors in title, personal names, institution names, place names, etc., should simply be corrected on the document. Re-sequencing of author names should only be done upon receipt of a written request from the first author.

c. Inconsistent Information on Document

It sometimes happens that information in one part of the document contradicts information in another part. If the correct version is not obvious, it may be necessary to contact the author or source. Information found in this way should be made correct on the document. If the contradiction cannot be resolved, the Title Page form takes precedence.

d. Material Removed from Document

If a document being considered for the ERIC system contains materials that will not reproduce clearly because of either color or poor print quality, an attempt should be made to obtain a better copy. Usually the author or producer of the document would prefer to furnish a reproducible copy rather than have an incomplete version available from ERIC.

In many instances the illegible parts are tables or charts which are referred to in the text. Omission of such segments may adversely affect the value of the document, thereby frustrating the user. In general, material should not be removed, despite poor legibility.

In cases where a better copy of a document cannot be obtained and remedial actions are not possible, consideration should be given to omitting the document, unless it provides a unique and valuable contribution to the literature, and the illegible material is considered to be minor.

e. Affixing ERIC Labels and Accession Numbers

(1) Clearinghouse Accession Numbers

Clearinghouse Accession Numbers are to be entered on the lower left hand corner of the cover (or first page to be filmed) of the document (See Figure IV-15). Not only does this placement balance the ED number and give the document a neater appearance, but the standardized format is needed during processing in order that documents may be easily and quickly located.

Accession Numbers are to either be stamped or legibly printed. Legibility in the Clearinghouse Number is of importance throughout the entire processing cycle:

——Accession Numbers on the documents are checked against the logsheets.

——Documents are filed at the Facility by Accession Number.

——Numbers are checked against the resumes.

——Documents are arranged in Clearinghouse Number order prior to the attachment of the Single Frame Resumes.

Illegible numbers may cause confusion at any or all steps in the process, thus adding extra work where it might be avoided by legible numbers.

(2) ED Accession Numbers

Guidelines in EPM Section IV: "Handling and Shipping," state that the ED Number will be affixed to the document in the upper left hand corner of the cover (or first page to be filmed). The upper left hand corner should, therefore, not be used to affix the disclaimer and/or reproduction release labels. When the document is shipped to the Facility, that space must be left open for the ED number to be stamped on. (See Figure IV-15.)

(3) NIE Disclaimer Labels and Reproduction Release Labels

The NIE Disclaimer Labels and Reproduction Release Labels (if appropriate), are to be affixed to the cover (or the first sheet to be filmed) of the document. These labels may be placed anywhere there is vacant space on this page, except for the upper and lower left hand corners, which are reserved for the ED and Clearinghouse Accession Numbers, respectively.

They should be placed in such a manner and location that they do not cover, even slightly, the text, title, author's name, etc. They may be trimmed down in order to fit; it is not recommended, however, that the labels be cut into parts. They especially should not be cut into parts and distributed perpendicularly to the text. If there is no space for the labels (for instance, when the document's first page is the first page to be

filmed and is packed with text, or when the margins are narrow at both the top and bottom), the simplest and neatest thing to do is to type a title page and place the labels there. Contrary to "oral tradition," there is no EPM requirement that either or both of these labels be placed in the upper center of the document. Other than the "off limits" space in the left hand corner, labels may be placed anywhere, in any empty space on the title page as long as they can fit without overlapping the text.

Labels, however, should never hang over the document's edge. Labels are to be placed entirely on the document—overhangs must be trimmed. Overhanging labels not only look carelessly applied, but, more importantly, can be missed in the filming process. Overhanging labels can catch on surfaces of other documents and the document itself can be damaged. ERIC documents are handled numerous times at the Facility and at EDRS; protruding labels can get bent over, wrinkled, or torn off during processing.

Remember that when that critical first page of the document is being prepared, it will reflect on the Clearinghouse (to insiders) and on ERIC (to outsiders) what pride is taken in the work. All labels should be straight, balanced, attractive, and in the proper position.

PB-277 951

GUIDELINES FOR DESCRIPTIVE CATALOGING OF REPORTS.
A REVISION OF COSATI STANDARD FOR DESCRIPTIVE CATALOGING
OF GOVERNMENT SCIENTIFIC AND TECHNICAL REPORTS.

SECTION 2: CORPORATE AUTHOR (p. 11-26).

PB-277 951

GUIDELINES FOR DESCRIPTIVE CATALOGING OF REPORTS.
A REVISION OF COSATI STANDARD FOR DESCRIPTIVE CATALOGING
OF GOVERNMENT SCIENTIFIC AND TECHNICAL REPORTS.

SECTION 2: CORPORATE AUTHOR (p. 11-26).

2. Corporate Author

2.1. Definition. Corporate author is the name usually given to the institutional or corporate body preparing the report, which is experimentally (or technically), editorially and/or contractually responsible for the report. Organizations most likely to be involved in issuing scientific and technical reports include: academies, arsenals, associations, business corporations, centers, colleges, companies, councils, establishments, firms, foundations, government agencies, groups, hospitals, institutes, institutions, laboratories, museums, observatories, proving grounds, schools, societies, stations, universities, and their foreign equivalents.

2.1.a. The corporate author is sometimes referred to as the source or originating agency; the government or other agency which is responsible financially for the report and controls its distribution is sometimes referred to as the controlling or monitoring agency.

2.2. The purpose of establishing a corporate author heading is to give the name of the corporate body in a fashion which is easy to identify and possible to retrieve from published indexes and other searching tools.

2.3. Selection of Elements of Corporate Author Headings. Methods of selecting the form of corporate author heading are outlined below and explained in greater detail in later sections.

2.3.a. Only two organizational elements may be chosen from those displayed on the title page and cover of the report.

2.3.b When two elements are chosen, they are the largest and the smallest elements; the city and state name of the smallest element follows the largest element of the corporate author heading.

Largest Element, Place Name. Smallest Element.
General Electric Co., Huntsville, AL. Computer Dept.

2.3.c. This selection of elements may be varied only if:

1. A smaller element includes a proper name (see 2.5.a.)

2. A smaller element is the name of an independent company or a major government bureau or service (see 2.5.b.)

3. The report series number assigned by the originator indicates a different level of editorial responsibility (see 2.5.c.)

2.4. General Rules. Catalog from the report in hand, using only those organizational elements that appear on the report. The simplest corporate author heading consists of one organizational name and a geographic name. The number of organizational elements displayed on the report may vary from one to five or six, and some indication of geographic location is usually given. When more than two organizational elements are displayed in the imprint, the corporate author heading includes only two; these two should be the largest and the smallest, and are written:

Largest, Place Name. Smallest.
General Electric Co., Cincinnati, OH. Nuclear Materials and Propulsion Operation.

2.4.a. U.S. is omitted before government headings.

2.4.b. City or state names which repeat part of the name of the main element are omitted. If the subelement includes a geographic name, the geographic name is repeated as part of the subelement.

Massachusetts Inst. of Tech., Cambridge.
Rochester Univ., NY.
Burroughs Corp., Radnor, PA. Radnor Div.
Pratt and Whitney Aircraft, Middletown, CT. Connecticut Advanced Nuclear Engineering Lab.

2.4.c. State names are not abbreviated within a heading, except when used as part of the place name.

*State Univ. of New York at Albany.

but Rochester Univ., NY.

2.4.d. Names of state and local government agencies should start with the name of the state or local government; words like "state", "city", "county", are included or omitted in accordance with local practice.

Virginia Dept. of Corrections, Richmond.
New York State Dept. of Education, Albany.
Baltimore City Dept. of Planning, MD.
Baltimore County Dept. of Health, MD.

2.4.e. The name "University of...(city or state)" is always written beginning with the city or state name, regardless of legal and financial relationships; punctuation is not inserted in the inverted form. The names "University of...(geographic region)" and "State University of..." are written without reversal.

*ERIC uses "State Univ. of New York, Albany."

Pennsylvania Univ., Philadelphia.
University of Southern California, Los Angeles.
*State Univ. of New York at Stony Brook.
*Alabama Univ. in Huntsville.
*Wisconsin Univ.-Madison.

2.4.f. Departments of universities are always written in the form "Dept. of...", regardless of the way they appear on the report.

University of Southern California, Los Angeles. Dept. of Electrical Engineering.

not

University of Southern California, Los Angeles. Electrical Engineering Dept.

2.4.g. Departmental committees are written following the name of the department.

Office of Naval Research, Washington, DC. Committee on the Basic Properties of Liquid Metals.

2.4.h. Joint committees are written directly under their own names.

Joint Atomic Weapon Technical Information Group.

2.4.i. Abbreviations are not used as the first word of a heading, but are spelled out. An exception is made only when the abbreviation is a legally or officially established element of the corporate title.

Air Force Avionics Lab....not AF Avionics Lab....
Saint Anthony Falls Hydraulic Lab....not St. Anthony....
United States Rubber Co....not U.S. Rubber Co....
RCA Corp., New York, NY.

2.4.j. If an organization customarily uses an abbreviated form of its official, legal, or chartered name, the abbreviated form is preferred.

Stanford Univ., CA.

not

Leland Stanford Junior Univ., CA.

*ERIC uses: State Univ. of New York, Stony Brook.
Alabama Univ., Huntsville.
Wisconsin Univ., Madison.

2.4.k. If a corporate author changes its name, both old and new forms of the name are retained, with cross references made between them. (See 2.7.a.) A specific report is cataloged under whichever name appears on the publication.

2.4.l. If a report is authored jointly by two or more components of the same organization, the heading should be no more specific than the smallest organizational level common to all components. If any component includes a proper name or reflects a report number series, then all components are taken as joint corporate authors.

Joint authors: General Electric Co., Cincinnati, OH.
Flight Propulsion Div.
Advanced Engine Technology Dept.

and General Electric Co., Cincinnati, OH.
Flight Propulsion Div.
Large Jet Engine Dept.

use: General Electric Co., Cincinnati, OH.
Flight Propulsion Div.

Report number UCRL-8945

Joint authors: California Univ., Berkeley. Dept. of Physics.

and California Univ., Berkeley. Lawrence Radiation Lab.

use both.

2.4.m. International unions which have no permanent headquarters may be written with no place name.

2.4.n. If any of the following terms is written out on the document, it should be abbreviated within the corporate heading (as long as it is not the first word in the heading).

Abteilung	Abt.
Air Force Base	AFB
Air Force Station	AFS
Aktiebolaget	A.B.
Aktiengesellschaft	A.G.
Brothers	Bros.
College	Coll.
Company	Co.
Corporation	Corp.
Departamento	Dept.
Departement	Dept.
Departementet	Dept.
Department	Dept.

Divisao	Div.
Division	Div.
Divisione	Div.
Gesellschaft mit beschraenkter Haftung	G.m.b.H.
Incorporated	Inc.
Institut	Inst.
Institute	Inst.
Institute of Technology	Inst. of Tech.
Institutet	Inst.
Instituto	Inst.
Institutt	Inst.
Institutul	Inst
Instituut	Inst.
Instytut	Inst.
Istituto	Inst.
Laboratoire	Lab.
Laboratoires	Labs.
Laboratories	Labs.
Laboratoriet	Lab.
Laboratorio	Lab.
Laboratorium	Lab.
Laboratory	Lab.
Limited	Ltd.
Manufacturer	Mfr.
Manufacturing	Mfg.
Universidad	Univ.
Universidade	Univ.
Universita	Univ.
Universitaet	Univ.
Universitas	Univ.
Universitatea	Univ.
Universite	Univ.
Universiteit	Univ.
Universitet	Univ.
Universitetet	Univ.
Universiti	Univ.
University	Univ.
Univerzita	Univ.
Univerzitet	Univ.
Uniwersytet	Univ.

NOTE: This rule does not restrict the use of abbreviations that occur on the document.

2.4.o. The following abbreviations are used for U.S. geographic names when used as part of the geographic location; the new abbreviations are taken from the National ZIP Code Directory.

[State]	[New]	[Old]
Alabama	AL	Ala.
Alaska	AK	none
American Samoa	AS	none
Arizona	AZ	Ariz.
Arkansas	AR	Ark.
California	CA	Calif.
Canal Zone	CZ	none
Colorado	CO	Colo.
Connecticut	CT	Conn.
Delaware	DE	Del.
District of Columbia	DC	D.C.
Florida	FL	Fla.
Georgia	GA	Ga.
Guam	GU	none
Hawaii	HI	none
Idaho	ID	none
Illinois	IL	Ill.
Indiana	IN	Ind.
Iowa	IA	none
Kansas	KS	Kans.
Kentucky	KY	Ky.
Louisiana	LA	La.
Maine	ME	none
Maryland	MD	Md.
Massachusetts	MA	Mass.
Michigan	MI	Mich.
Minnesota	MN	Minn.
Mississippi	MS	Miss.
Missouri	MO	Mo.
Montana	MT	Mont.
Nebraska	NE	Nebr.
Nevada	NV	Nev.
New Hampshire	NH	N.H.
New Jersey	NJ	N.J.
New Mexico	NM	N. Mex.
New York	NY	N.Y.
North Carolina	NC	N.C.
North Dakota	ND	N. Dak.
Ohio	OH	none
Oklahoma	OK	Okla.
Oregon	OR	Oreg.
Pennsylvania	PA	Pa.
Puerto Rico	PR	none
Rhode Island	RI	R.I.
South Carolina	SC	S.C.
South Dakota	SD	S. Dak.

[State]	[New]	[Old]
Tennessee	TN	Tenn.
Texas	TX	Tex.
Trust Territories	TT	none
Utah	UT	none
Vermont	VT	Vt.
Virgin Islands	VI	none
Virginia	VA	Va.
Washington	WA	Wash.
West Virginia	WV	W. Va.
Wisconsin	WI	Wis.
Wyoming	WY	Wyo.

Editor's Note: Previous editions of the COSATI standard cited older and longer forms of state name abbreviations and these were followed by ERIC for many years and are reflected in the ERIC Source Directory. Beginning with the July 1982 issue of RIE, ERIC shifted to the now standard two-character postal abbreviations, and all organization names established after that date use the new abbreviations. It is hoped that future editorial projects will make possible the conversion of all the old abbreviations to the new forms.

2.4.p. The Directory is also used to establish the correct form of the place name in cases of doubt. If a branch post office has a ZIP code different from that of the post office, use the name of the branch post office.

Argonne National Lab., Lemont, IL. See Argonne National Lab., IL.
(since Argonne is a substation of Lemont but has its own ZIP code)

2.4.q. For military installations, use the post office as given in the Directory. For Fleet and Army Post Offices, follow the military form: include the abbreviation "APO" or "FPO" and the ZIP code, but omit the state name.

Wright-Patterson AFB, OH.
Andrews AFB, MD. Use Andrews AFB, Washington, DC
Army Medical Detachment (51st), APO New York 09108.
Medical Detachment (Thoracic)(240th), APO San Francisco 96318.
Fleet Air Mediterranean/Anti-Submarine Warfare Force (Sixth Fleet), FPO New York 09521.

2.5 An exception is made to the rule for selecting elements, largest-smallest, from several elements displayed, when one of the subordinate elements: a) includes a proper name; b) is an independent name; or c) is designated as the responsible organizational level by a report series number.

2.5.a. Proper names. A smaller organizational element that begins with a proper name is selected as the secondary or subelement, ignoring other smaller elements in the imprint. Proper names include: a noun not defined in the dictionary, the name of a person, part of the name of a company repeated in the name of the component, an acronymic form of name, and geographic names. The words American and National are considered to be proper names.

Johns Hopkins Univ., Baltimore, MD. Carlyle Barton Lab.
Anaconda American Brass Co., Waterbury, CT. Anaconda Metal Hose Div.
Bureau of Mines, Morgantown, WV. Appalachian Experiment Station.

NOTE: If there are two subordinate elements, one showing a proper name and one showing a report series, choose the subordinate element represented by the report series.

2.5.a.1. Personal names. If the first element of a heading begins with initials of a personal name, the entry is started with the surname, followed by initials enclosed in parentheses.

Anderson (M.D.) Hospital and Tumor Inst., Houston, TX.
Goodrich (B.F.) Co., Akron, OH.

2.5.a.2. If the first element of a heading begins with a personal forename, and is the name of a company or other commercial/industrial organization (including Associates, Engineers, etc.), the heading starts with the surname, followed by forename and initials enclosed in parentheses.

Little (Arthur D.), Inc., Cambridge, MA.

2.5.a.3. If the first element of a heading begins with a personal forename, and is the name of a university, laboratory, institute, center, hospital, foundation or other apparently non-commercial organization, the heading is written directly as given.

Harry Diamond Labs., Washington, DC.

2.5.a.4. If the subordinate element of a heading begins with a personal name, that name is written without rearrangement.

California Inst. of Tech., Pasadena. W.M. Keck Lab. of Engineering Materials.

2.5.a.5. A subordinate element that begins with the words U.S., National, or the state name in a state organization, is considered to be independent.

U.S. Army Engineer District, Huntington
Corps of Engineers
Huntington, WV.

Use: Army Engineer District, Huntington, WV.

Hawaii Institute of Geophysics
University of Hawaii
Honolulu, Hawaii

Use: Hawaii Inst. of Geophysics, Honolulu.

National Magnet Laboratory
Massachusetts Institute of Technology
Cambridge, Mass.

Use: National Magnet Lab., Cambridge, MA.

2.5.b. Independent names. A subordinate element of a company is recognizable as an independent corporate entity by words such as Inc., Co., Ltd., Corp., etc., or by the fact that descriptive phrases such as "a division of...", "a subsidiary of...", are not included within the name itself.

Imprint reads: Atomics International
A Division of North American Aviation, Inc.
P. O. Box 309 Canoga Park, California.

Use: Atomics International, Canoga Park, CA.

Not: North American Aviation, Inc., Canoga Park, CA. Atomics International.

Such an independent element is written as a single-element heading with place name, omitting the name of the largest element. The heading is followed by the name of a still smaller organizational element where such is included in the imprint.

2.5.b.1. Major bureaus and services of the U.S. Government are listed as one-element headings, omitting the larger organizational element; any such heading may be followed by the name of the smallest element.

Public Health Service, Rockville, MD.
Bureau of Reclamation, Denver, CO.
Coast and Geodetic Survey, Washington, DC.
Agricultural Research Service, Beltsville, MD.

2.5.b.2. Parenthetical identification is added when necessary.

Division of Raw Materials (AEC), Washington, DC.
Bureau of Medicine and Surgery (Navy), Washington, DC.
Deputy Chief of Staff, Personnel (Air Force), Washington, DC.
Adjutant General's Office (Army), Washington, DC.

2.5.b.3. Named observatories are written as independent headings.

Yerkes Observatory, Williams Bay, WI.
not: Chicago Univ., Williams Bay, WI. Yerkes Observatory.

2.5.b.4. If a college or school of a university has a proper name, it is written as an independent heading.

Trinity Coll., Cambridge (England).
not: Cambridge Univ. (England). Trinity Coll.

Mary Washington Coll., Fredericksburg, VA.
not: Virginia Univ., Fredericksburg. Mary Washington Coll.

Wharton School of Finance and Commerce, Philadelphia, PA.
not: Pennsylvania Univ., Philadelphia. Wharton School of Finance and Commerce.

2.5.b.5. If an independent element of a government agency is a laboratory, center, or institute, no further subdivision is used.

Armed Forces Inst. of Pathology, Washington, DC.
not: Armed Forces Inst. of Pathology, Washington, DC. Geographic Pathology Div.

unless: the subordinate element is also represented by a report series.

Naval Air Propulsion Test Center, Trenton, NJ. Aeronautical Turbine Dept.
(Report series NAPTC-ATD-133)

2.5.b.6. If an acronymic report series indicates the editorial responsibility of a subordinate element of a government agency, that element is considered to be independent and no further elements are included.

Report number: ASD-TR-61-327
Imprint: Flight Accessories Laboratory
Aeronautical Systems Division
Air Force Systems Command
United States Air Force
Wright-Patterson Air Force Base, Ohio.

Use: Aeronautical Systems Div.,
Wright-Patterson AFB, OH.

Include the subordinate element if it is also represented by a report series.

Army Natick Labs., MA. Clothing and Organic Materials Div. (Report Series TR-66-2-CM and C&OM-15)

Note: For report series in non-government agency reports, see 2.5.c.1.

2.5.c. Report Series. Many reports include a report series number which indicates the level of organizational and editorial responsibility. Most of these report series include an acronym which can be readily related to one or more of the organizational elements listed in the imprint.

2.5.c.1. For smaller organizational element choose that element indicated by the report series.

Report number: SID-65-933
Imprint: Space Sciences Laboratory
Space and Information Systems Division
North American Aviation, Inc., Downey, California

Use: North American Aviation, Inc., Downey, CA. Space and Information Systems Div.

Note: For report series in government agency reports, see 2.5.b.6.

2.5.c.2. If the report series indicates a larger-smaller order of responsibility, follow that order in the corporate author heading, selecting the two elements indicated by the report series and ignoring any other elements.

*2.6. Foreign corporate author headings. The name of a foreign corporate body is written directly, followed by the name of the city, followed by the name of the country written in parentheses.

Royal Aircraft Establishment, Farnborough (England).

2.6.a. Foreign names are written in the native language, or transliterated from the native language whenever the native form of the name is known; but if the foreign institution chooses to publish all its reports in English under an English form of corporate name, or if the official publications of an institution include the corporate name given in English, use the English form with cross references from the foreign form.

Societa Richerche Impianti Nucleari, Milan (Italy).
Technical Univ. of Denmark, Lyngby.
Danmarks Tekniske Hoejskole, Lyngby. See Technical Univ. of Denmark, Lyngby.
Norwegian Defence Research Establishment, Kjeller.
Forsvarets Forskningsinstitutt, Kjeller (Norway). See Norwegian Defence Research Establishment, Kjeller.

2.6.b. Names of foreign cities are not abbreviated; names of foreign countries are not abbreviated except for USSR. The name of the country is not repeated if included in the heading.

Australian National Univ., Canberra.
Centro Brasileiro de Pesquisas Fisicas, Rio de Janeiro.

2.6.c. Foreign place names used as filing points are written in the form of common usage as indicated by the Board on Geographic Names; when the name forms an integral part of the heading, retain the native form.

Turin Univ. (Italy).

but: Politecnico di Milano (Italy).

2.6.d. Foreign universities are written in the same way as American universities. If the name of the university begins with the foreign equivalent of "University of...(place name)", write the place name first and abbreviate the foreign form of "university" to "Univ.".

*Appendix 2 of PB-277 951 (not reprinted in the EPM) treats the Canadian provinces and the four major divisions of the United Kingdom as "Countries."

Universidad de Barcelona. See Barcelona Univ. (Spain).
Universidade do Brasil, Rio de Janeiro. See Brazil Univ., Rio de Janeiro.
Universita degli Studi, Milan. See Milan Univ. (Italy).
Universitaet Wien. See Vienna Univ. (Austria).
Universite de Paris. See Paris Univ. (France).
Universiteit van Amsterdam. See Amsterdam Univ. (Netherlands).
Universitetet i Oslo. See Oslo Univ. (Norway).

*2.6.e. If a foreign university commonly prefers the form "University of (place name)" to the official version of its name, use the place name version.

Kiel Univ. (Germany, F.R.)
Christian Albrechts Univ., Kiel (Germany, F.R.)
See Kiel Univ. (Germany, F.R.)

*2.6.f. Technische Universitaet is written using the common form of place name and omitting the formal portion of the name.

Technische Univ., Brunswick (Germany, F.R.)
Technische Univ. Carolo Wilhelmina zu Braunschweig (Germany, F.R.). See Technische Univ., Brunswick (Germany, F.R.)

2.6.g. All other forms of name are retained as written.

Pontificia Univ. Catolica do Rio de Janeiro (Brazil).

2.6.h. Foreign scientific academies are written as the name of the academy, followed by place and country. (Name of country is omitted when included in the name of the academy).

Akademiya Nauk SSSR, Moscow.

not: Akademiya Nauk SSSR, Moscow (USSR).

2.6.i. Institutes, sections, etc. of foreign academies are written following the name of the academy, place, and country. If an institute name from a Russian or a satellite country is followed by a personal name, omit the personal name.

Akademiya Nauk Kazakhskoi SSR, Leningrad.
Fiziko-Tekhnicheskii Inst. (Omit "im. A. F. Ioffe".)

2.6.j. All other foreign institutes, not connected with their national academies, are written directly.

Institut Inzhenerov Zheleznodorozhnogo Transporta, Dnepropetrovsk (USSR).

*ERIC uses the form "West Germany" in lieu of the form "Germany, F.R."

2.7. Rules for making cross-references to and from corporate author headings. Cross references indicate a relationship between two corporate author headings. A see reference indicates an unacceptable form of heading; the existence of the reference is recorded on the preferred form of heading by an x (refer from) reference.

Navy Dept., Washington, DC. See Department of the Navy, Washington, DC.

Department of the Navy, Washington, DC.
x Navy Dept., Washington, DC.

2.7.a. A change in the name of a corporate author is covered by an sa (see also) reference which refers the user to the later names. The xx (refer also from) reference indicates the previous names.

Clinton Labs., Oak Ridge, TN.
sa Clinton National Lab., Oak Ridge, TN. (later name)
sa Oak Ridge National Lab , TN. (later name)

Clinton National Lab., Oak Ridge, TN.
sa Oak Ridge National Lab., TN. (later name)
xx Clinton Labs., Oak Ridge, TN. (former name)

Oak Ridge National Lab., TN.
xx Clinton Labs., Oak Ridge, TN. (former name)
xx Clinton National Lab., Oak Ridge, TN. (former name)

2.7.b. If the smaller part of the organizational name might appear on some other report without full identification, make a cross reference from the name of the smaller part.

Committee on Fire Research (NRC), Washington, DC. See National Research Council, Washington, DC. Committee on Fire Research.

Institut fuer Theoretische Physik, Graz (Austria). See Graz Univ. (Austria). Inst. fuer Theoretische Physik.

Laboratoire de Chimie Physique, Paris (France). See Paris Univ. (France). Lab. de Chimie Physique.

2.7.c. Make a see reference from alternate forms of the name.

Danmarks Tekniske Höejskole, Lyngby. See Technical Univ. of Denmark, Lyngby.

2.7.d. Make cross references to show organizational elements that have been omitted in the heading.

Office of Naval Research, Washington, DC. Naval Research Lab. See Naval Research Lab., Washington, DC.

California Univ., Berkeley. Dept. of Physics. Cosmic Ray Group. See California Univ., Berkeley. Cosmic Ray Group.

Air Force Systems Command, Wright-Patterson AFB, OH. AF Aero Propulsion Lab. See Air Force Aero Propulsion Lab., Wright-Patterson AFB, OH.

Research and Technology Div., Wright-Patterson AFB, OH. AF Aero Propulsion Lab. See Air Force Aero Propulsion Lab., Wright-Patterson AFB, OH.

2.7.e. Make cross references from acronyms and abbreviations.

DOE See Department of Energy, Washington, DC.

2.7.f. When establishing a heading for a foreign corporate body, a cross reference from the name of the foreign country may be included.

Instituto Venezolano de Investigaciones Cientificas, Caracas.
x Venezuela. Instituto Venezolano de Investigaciones Cientificas, Caracas.